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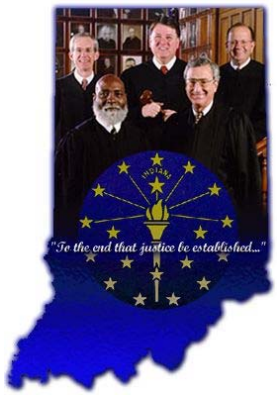
APPENDICES

LIST OF EXHIBITS

EXECUTIVE SUMMARY

The Division of State Court Administration of the Supreme Court of Indiana, can support the operational and information reporting requirements of the Indiana Judiciary more efficiently and effectively by selecting MAXIMUS to install, tailor, and support the existing CourtView system.



Chief Justices for the Indiana Supreme Court.

The Division of State Court Administration of the Supreme Court of Indiana (the Division) has clearly defined the mission for the improvement of court management functions. This Public Notice of Contracting Opportunities is a culmination of over six years of research and planning to provide Indiana trial courts with a state of the art case management system (CMS). The new CMS will provide increased interoperability between courts and modernize the transfer of critical information across agencies. The benefits of this project were clearly identified in the 2001 State of the Judiciary Address by Chief Justice Randall T. Shepard. He said in regards to increased accessibility to court and criminal information:

> *"...judges will be able to manage their caseload more effectively, reduce the time required for things like sentencing hearings, and thus, as in Evansville, help fight the problem of jail overcrowding. Judges will be able to tell when people who come to court owe money to the state or local government, such as fines or taxes. Charged felons who show up in the courthouse even though they are wanted on outstanding warrants can be identified and taken into custody."*

As stated in your Public Notice of Contracting Opportunities, *Statewide Judicial Case Management Software System,* your goals are as follows—

- *Unify and integrate case processing*
- *Allow Indiana trial courts and court clerks to manage their caseloads faster and more cost effectively.*
- *Establish improved interoperability of the courts*
- *Provide timely, accurate, and comprehensive trial court information to law enforcement agencies, state policy makers, and the public.*
- *Reduce multiple data entry and ancillary support systems*
- *Transfer information via the use of interfaces to several other state systems including the Bureau of Motor Vehicles, the Indiana State Police, the Department of Correction, the Family and Social Service Administration, agencies of the Supreme Courts, and other systems currently in use such as ProsLink and Quest.*

In support of these objectives, the Division is seeking contractors to develop or deploy a full-featured CMS, a supportive network and a data warehouse that will work together seamlessly to provide Web-enabled, real-time connectivity and information-sharing to users and citizens who seek information. The new CMS will replace the existing case management systems to improve efficiency and timeliness of information within the State of Indiana.

This proposal has been organized to facilitate your consideration of MAXIMUS as a candidate for providing such a software solution—CourtView. This executive summary is organized as follows:

Section 1.1

The MAXIMUS Approach to the Project

The MAXIMUS approach to this project includes providing the CMS, Data Warehouse, and Ancillary Services/Project Management (ASPM). Our response to each of these categories reflects the full breadth of our qualifications and services. While we feel we are the best vendor to provide all three services, we have extensive experience in teaming with other vendors and service providers to ensure the successful completion of a project.

As defined in the PNCO and by Chief Justice Shepard, you need a case processing system that utilizes state of the art technology and systems integration to resolve issues of the courts efficiently throughout 300 trial courts in Indiana. MAXIMUS proposes the implementation of our richly featured and Indiana court tested case management system, CourtView®. Since 1999, the CourtView application has been supporting Indiana courts in Lake, Vanderburgh, and Tippecanoe counties. Boone County is currently involved in the implementation process and projected to start using the system by June 2002.

Our experience in Indiana is best demonstrated by our ability to meet the needs of the Indiana trial courts. We responded Yes or Future Release to over 90 percent of your functional requirements in Appendix A of the PNCO. Additionally, CourtView is approved by the State Board of Accounts.

In our commitment to the efficiency of court information processing in Indiana, we are currently working on two system interfaces. First, in conjunction with the Bureau of Motor Vehicles (BMV) we are creating an electronic transfer of information from CourtView to the BMV. This interface will significantly decrease the financial and staff time cost of the SR 16 reporting. Second, we have started the

preliminary design work for a CourtView data transfer to the ProsLink system. The interface between these two systems will improve the availability of data to the prosecutors from the CourtView system.

A successful implementation will require a partnership between MAXIMUS and the Division. In each area of the project, the CMS, data warehouse or ancillary services, we will work with you to determine a best practices solution that is time and cost efficient. For example, in the first phase of the CMS project, our staff will work with you to define statewide codes, costs, and reports. Clearly defined statewide codes will improve the reliability of information housed in the data warehouse and will streamline the implementation process. In our experience deploying a statewide traffic system in Florida, a pre-defined set of codes were used and the implementation process was streamlined to the point that a traffic court could be brought live in a matter of two weeks.

We have divided the state into three regions for planning purposes. Detailed information on the specific implementation plan can be found in Section 3.3. Our experience has been that implementations within close proximity of one another decrease time and cost. We have found that courts can work together during the implementation process, supporting one another in adapting to new business processes.

Sections 1.2 – 1.4 of this Executive Summary further describe our proposed services for the successful implementation and completion of the Statewide Judicial Case Management Software System.

Section 1.2

MAXIMUS and CourtView

Timely and effective case management requires that information be readily available and easily accessible, throughout the life cycle of a case. All court officers and related judicial offices are challenged to implement efficient methods of processing and tracking important court related data. Justice system efficiency is directly related to the accuracy and speed of information storage, retrieval, and analysis.

The challenges facing your office are similar to those of other jurisdictions we have supported. We understand the need to update the technology within the courts and provide a more integrated justice environment with other criminal justice agencies and divisions. We also understand the following challenges you currently are facing.

- Increased case filings across multiple systems with no interoperability
- Increased requirements to provide data to county, state, and national reporting agencies
- Increased amounts of court papers with limited physical storage space

- Increased requirements to exchange data with jails other state and justice agencies

The MAXIMUS CourtView® integrated case management system is the solution you need for accurate and efficient entry and retrieval of your records. CourtView satisfies the operational requirements of courts of general jurisdiction, limited jurisdiction, and special jurisdiction including, among others, juvenile, probate, and traffic.

The CourtView case management system is a proven, real-time interactive Windows and Web-browser-based information system. It is a modular, well-integrated package easily customizable to your needs. CourtView automates the case management, docketing, scheduling, financial processing, document imaging, and report generation of cases at all stages of the judicial process. The key feature of CourtView is the complete integration of all court functions within one product. Case information is automatically updated for viewing at the time the data is entered, providing up-to-the-minute information on a case.

One of the many benefits of CourtView® to the Indiana trial courts is the inherent flexibility in the product. CourtView® was not designed for one size county, court, or jurisdiction. Concurrently, MAXIMUS implementation and installation services are inclusive of both small and large court needs. Our team of project managers, trainers, and analysts are experienced in both environments. *Exhibit 1-1: Small Court Versus Large Court Benefits* illustrates the benefits of CourtView to both small and large courts.

CourtView® Feature	Small Court Benefit	Large Court Benefit
Easy to Use Functionality	You can easily learn several different functions and therefore be able to do several different jobs.	You can focus on specialized functions and do a higher volume of work for those specific functions.
Code Tables and Adaptable Features	Decrease the amount of data entry with using code tables to automatically apply standardized information.	Decrease the amount of data entry with using code tables to automatically apply standardized information.
Security	Security can be opened for you to have access to several modules in the system.	Security can be isolated so that you can access and change data in only select areas.
Automated and Manual Judge Assignment	The manual override will allow you to select the judge to assign to the case.	The automated feature will expedite the case initiation process.
Automated and Manual Event Scheduling	Judge's calendars can be manually determined and changed as necessary.	The automated event scheduling will assign an event quickly for high volume.
Reports	Clerks with multiple functions can use the reports to create end of day, statistical, and listing reports quickly.	Clerks with specialized functions can use the reports for individual department needs and monitor staff activity.
Ticklers	Ticklers can be used to notify many staff members of specific issues on a case, monitor the case initiation process, and streamline the workflow.	Ticklers will warn when scheduling deadlines are nearing, inform you of existing warrants, and notify you of past due fines or fees.
Integrated Accounting	Fines and Fees automatically apply. For the clerks that serve as case entry and fine entry, one step will be eliminated.	Having all of the accounting history stored with the case information will save significant time in answering client questions, tracking paid court fines, and restitution payments.

Exhibit 1-1: Small Court Versus Large Court Benefits illustrates the benefits of CourtView to both small and large courts.

Section 1.3

MAXIMUS as a Data Warehouse Provider

The Division emphasized the need for a data warehouse for trial court case and statistical data. The data warehouse is a centralized repository of information that increases accessibility to information by the courts, various state agencies, and the general public.

The successful design and implementation of a data warehouse requires an organization that understands and utilizes appropriate technical analysis and management techniques to develop a statewide software solution. We understand that the development of a data warehouse is not the primary mission of the agencies collecting the data so the approach must be effective and not burdensome. The MAXIMUS technical analysis and design methodologies are proven to be successful with real-world data. From our experience, we can provide a system architecture and data warehouse based on reliability, accessibility, disaster recovery, and on

going maintenance.

The data warehouse solution we propose is built on these features:

- a central database containing
  - XML case documents, and
  - Relational DB tables to index the XML documents, and
  - Relational DB tables to summarize the XML documents
- a web interface serving HTML and XML from the central database
- a web interface accepting XML data submissions
- an e-mail interface accepting XML data submissions
- an FTP interface accepting XML data submissions

Our proposed data warehouse architecture supports your objectives and provides the following benefits:

- Facilitate internal and external data sharing
- Deliver information independent of consumer or information location
- Support and integrate new technologies as they become available
- Support Internet access to information and services
- Allow for and deal with existing infrastructure
- Operate in a highly reliable, easily managed environment, and be maintained/supported at the lowest possible cost
- Support remote computing
- Inhibit unauthorized access through proper security
- Support interoperability
- Operate with a high degree of stability
- Utilize technology and products that are consistent with mainstream marketplace trends
- Support online public databases

More information on our data warehouse solution can be found in Section 4 of this proposal.

You have indicated an aggressive CMS rollout schedule across 300 trial courts in Indiana. For a successful implementation in a limited amount of time, an ancillary services provider in conjunction with the CMS vendor will provide assistance in project management, training, and support the overall implementation objectives. The ancillary services provider is a critical element to the success of the project and should have an extensive background in systems implementation in justice related industries.

MAXIMUS offers you more than 25 years of experience in government technology. We have provided information technology, program operation, and management consulting services in all 50 states, the District of Columbia, and the Virgin Islands. With a staff of more than 4,700 experienced professionals and revenues reaching nearly $500 million this year, MAXIMUS is one of the largest firms in the nation working with state and local government.

Our history, proven performance, and experience with CMS implementations make MAXIMUS an ideal ancillary services provider. The MAXIMUS project management methodology is based on timely delivery of a quality solution for our clients. Our project methodologies and internal project controls are designed and executed to get the project work done in a timely manner, within budget, with the highest quality possible, and with due care for project risks. Our Project Team is composed of senior, highly experienced personnel with the requisite project and technical skills, as well as knowledge and expertise in the complex and unique integrated justice environment. More information on our proposed solution for ancillary services can be found in Section 5 of this proposal.

Section 1.5

Why MAXIMUS is the Best Choice

1. 15 years experience in CJIS
2. Three current successful installations in Indiana
3. Over 90% compliant with the functionality requested by the Division
4. Largest company in U.S. exclusively serving state government clients
5. Has implemented over 1000 systems without a failure
6. Experts in the justice environment

You have made it clear that the Division seeks a vendor willing to provide a richly featured product, professional technical implementation experience, and a long term commitment to the on-going support of the project. With more than 15 years experience in implementing very similar systems for both large and small criminal justice agencies, the MAXIMUS Justice Solutions Division can become the partner you seek. Our CMS package, CourtView, has been successfully implemented and maintained in trial courts across Indiana and we are over 90 percent compliant with the functionality requested for the Statewide Judicial Case Management Software System project. Since 1999, the CourtView application has been supporting Indiana courts in Lake, Vanderburgh, and Tippecanoe counties. Boone County has begun the implementation process and projected to be completed in June 2002.

Our CourtView application is already compliant with Indiana state reporting requirements. We work continuously to improve the product by adding such features as electronic transmission to the BMV. We are familiar with the organizational environment and already committed to a long term relationship with Indiana. Since our division headquarters are in a neighboring state, Indiana has always been of strategic importance to us.

MAXIMUS has a history of success in Indiana. Throughout the last decade, Indiana selected MAXIMUS to provide services in a variety of areas as well as court software. Our divisions have improved services for the Indiana Family and Social Services Administration,

the Indiana State Police, and the Indiana University System. These contracts have utilized our strengths in project management, systems implementation, and technical development.

For the CMS project, the MAXIMUS proposes providing the CourtView application, installation, training and support, project and organizational planning for the implementation plan, development of a data warehouse, and providing ancillary services to the overall project.

As detailed in *Exhibit 1-2: Justice Solutions Division Organization*, our organization includes all functional support elements you have requested including—

- Design,
- Development,
- Quality Assurance,
- Project Management,
- Training,
- Data Conversion,
- Technical Support,
- Call Center, and
- Deployment.

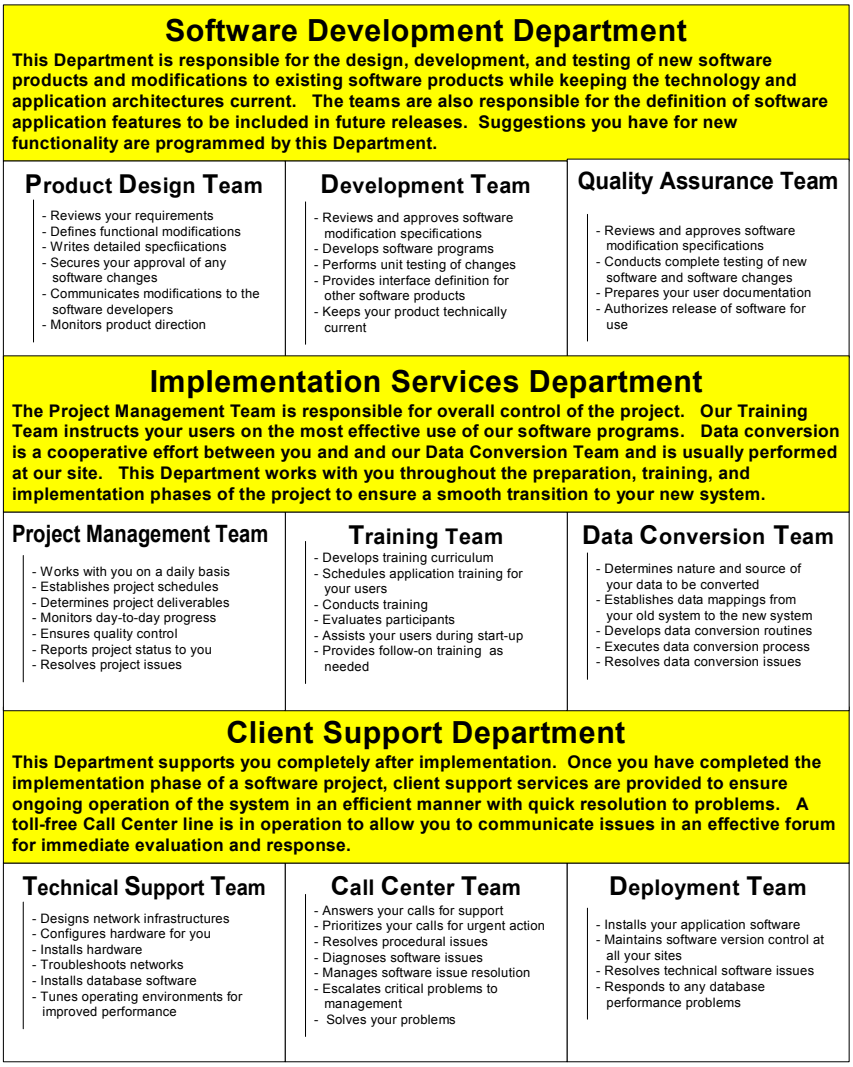


Exhibit 1-2: Justice Solutions Division Organizational Chart illustrates the infrastructure of the division.

Founded in 1975, MAXIMUS has always had the mission of *"Helping Government Serve the People®."* We specialize in providing consulting services, program management, and automated solutions to state and local governments nationwide. MAXIMUS is the largest company in the country dedicated exclusively to serving this market.

MAXIMUS has successfully implemented more than one thousand systems and our Justice Solutions Division has never had a failed project. We are successful in a project only when the client is successful.

We are experts in the justice environment, providing a broad spectrum of services. Our analysts, trainers, and project managers have had previous justice agency experience. This level of expertise ensures the success of your project. MAXIMUS personnel are quick to recognize current and evolving needs and possess the technical knowledge and expertise to create a progressive, client-focused software product.

We share your mission to create and maintain a statewide case and judicial management system. The system will be accurate, timely, complete, appropriately secured, cost-effective, and accessible.

2. VENDOR PROFILE

The vendor selected to implement the Statewide Judicial Case Management Software System must not only have the organizational capacity and financial resources to support a contract of this scope, but also a comprehensive understanding of how to develop and support systems that you need. MAXIMUS offers you more then 25 years of experience in government information technology, a reputation for business integrity, and a solid corporate infrastructure.

THIS SECTION IS ORGANIZED AS FOLLOWS:

- √ **Section 2.1: Description of MAXIMUS**
- √ **Section 2.2: MAXIMUS Qualifications**
- √ **Section 2.3: Financial Viability**

2.1 DESCRIPTION OF MAXIMUS

MAXIMUS has a 25-year history of *"Helping Government Serve the People.®"* The Justice Solutions Division of MAXIMUS has a 15-year history of providing application software products to state and local justice agencies throughout the United States. The combined breadth of experience provides you with a vendor experienced and knowledgeable in all areas of technology relating to government, court, and public safety facilities.

2.1.1 COMPANY HISTORY

MAXIMUS was founded in 1975 with the mission of *"Helping Government Serve the People®."* Throughout our 25-year history, we have experienced continued growth as a direct result of our continuous commitment to quality performance. The MAXIMUS Justice Solutions Division, which will implement the Statewide Judicial Case Management Software System has over 15 years experience providing justice related hardware and application software system solutions. With a staff of more than 4,700 experienced professionals and revenues reaching nearly $500 million this year, MAXIMUS is one of the largest firms in the nation working with state and local government agencies and the programs they administer.

The core of our mission is a realization of the importance of the work we do. The efficient administration of government programs is critical to the future of our society. Recognition and acceptance of this responsibility requires us to set our standards high, meet these standards consistently, and provide the appropriate technology. Although, technology is merely a tool used by people, our focus is to enable our clients to use technology efficiently and economically. We design, develop, implement, and maintain our products to satisfy your needs. MAXIMUS recognizes that technology changes rapidly. In order to respond to these challenges, we

provide our staff with a work environment where your needs are recognized as the reason we exist and where individual potential is recognized and expanded through education, experience, and opportunity.

2.1.2 MAXIMUS ORANIZATIONAL STRUCTURE

MAXIMUS is organized into two Strategic Business Units (SBU). Each SBU is organized to target the particular needs of specific program areas and by functional services provided.

MAXIMUS IS COMPRISED OF TWO STRATEGIC BUSINESS UNITS (SBU), HUMAN SERVICES AND SYSTEMS SBU AND HEALTH AND CONSULTING SERVICES SBU.

Within each of our two SBUs, senior professionals provide the administrative, operational, systems, and programmatic expertise to implement and operate each project. The strength of our corporate infrastructure is in our professional staff and the depth of expertise they bring in governmental policy, system design and development and operations. Further, MAXIMUS understands that this breadth of experience is applicable across all of our business lines. As projects require, staff resources are moved from one Group or Division to another to provide our clients with the best professionals to meet their needs. The strength of our corporate infrastructure provides the County with the confidence that the Real Property Assessment System project will be successfully implemented.

For a graphic representation of MAXIMUS organizational structure, please refer to *Exhibit 2-1: MAXIMUS Organization Chart.*

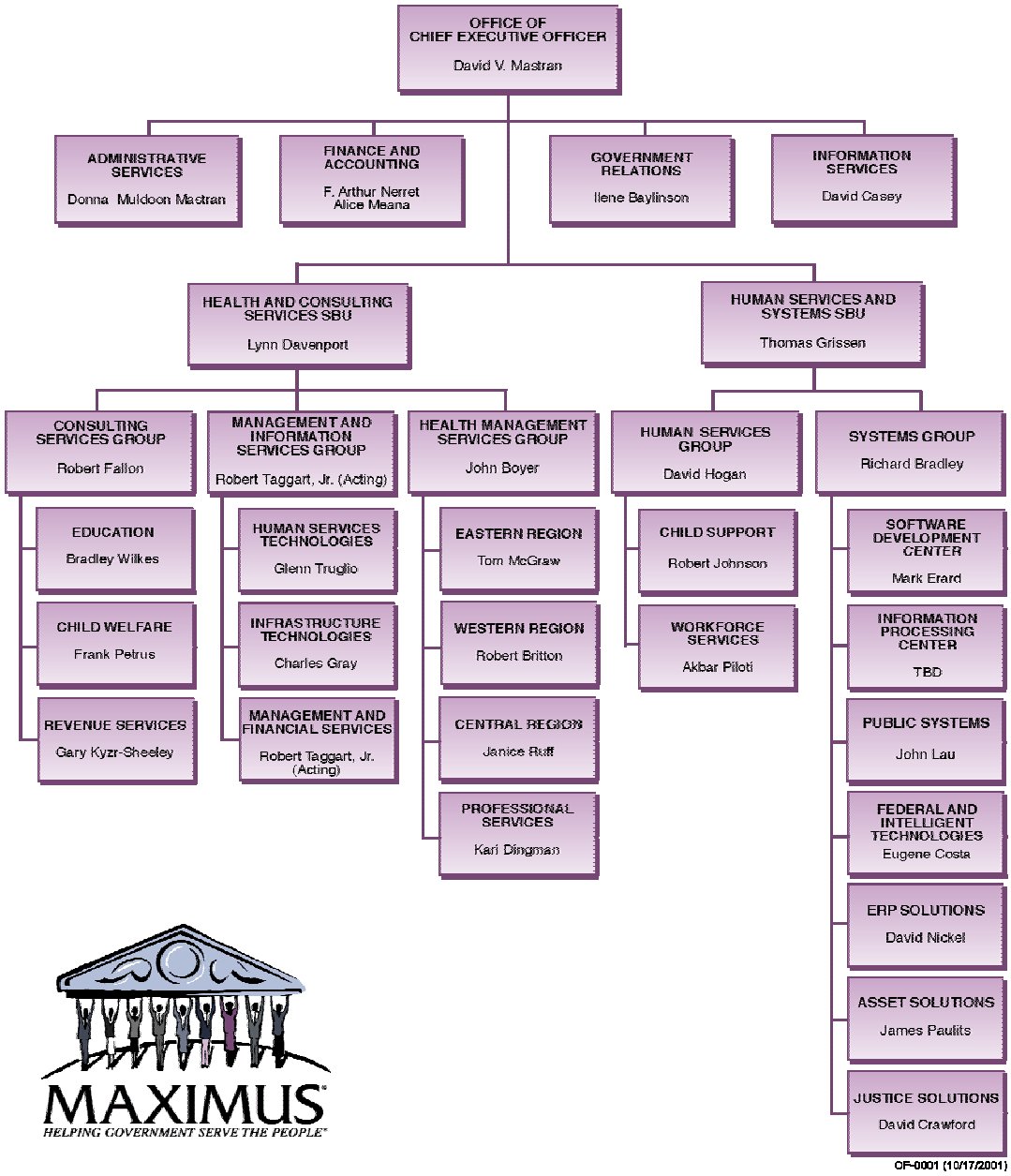


Exhibit 2-1: MAXIMUS Organization Chart illustrates the infrastructure of MAXIMUS.

2.1.2.1 HUMAN SERVICES AND SYSTEMS STRATEGIC BUSINESS UNIT

Within the Human Services and Systems Strategic Business Unit are two Groups, the Human Services Group, which manages the operations of child support enforcement and workforce services projects, and the Systems Group, which is responsible for all projects involving automated systems.

MAXIMUS Systems Group

The **MAXIMUS Systems Group** was formed to bring together the MAXIMUS resources that are specifically dedicated to the development and implementation of automated systems. It is within this Group that MAXIMUS houses our full software development lifecycle processes. The Systems Group contains seven divisions, each dedicated to bringing custom-designed information systems solutions to meet client needs.

MAXIMUS JUSTICE SOLUTIONS DIVISION PROVIDES COURTVIEW, JAILVIEW, JURYVIEW, AND RECORDVIEW PRODUCTS.

The **Justice Solutions Division** provides and delivers the CourtView®, RecordView®, JailView™, and JuryView™ products. CourtView is a functionality rich integrated justice system that includes the case management and financial processes necessary to support Court divisions (such as Criminal, Civil, Family, Traffic, and Probate). Additional CourtView modules support Prosecutors, Public Defenders, Probation, and Juvenile Detention Centers. A web-based Electronic Filing module for use by attorneys is under development. RecordView is an interactive, menu-drive Record Management System that automates a county recorder's office. JailView is a state of the art Jail Management System that allows clients to operate their jails more efficiently. JuryView is a jury management system that provides for the management of the jury process which includes: creation and maintenance of master jury lists, notice generation, jury attendance and payment, creation of an annual list, randomization of jurors, and statistical reports. JuryView is integrated into the CourtView product. *Exhibit 2-2: Justice Solutions Division Organization*, which summarizes how the Justice Solutions Division of MAXIMUS is organized, epitomizes how we work with you to provide the most effective solution for your needs.

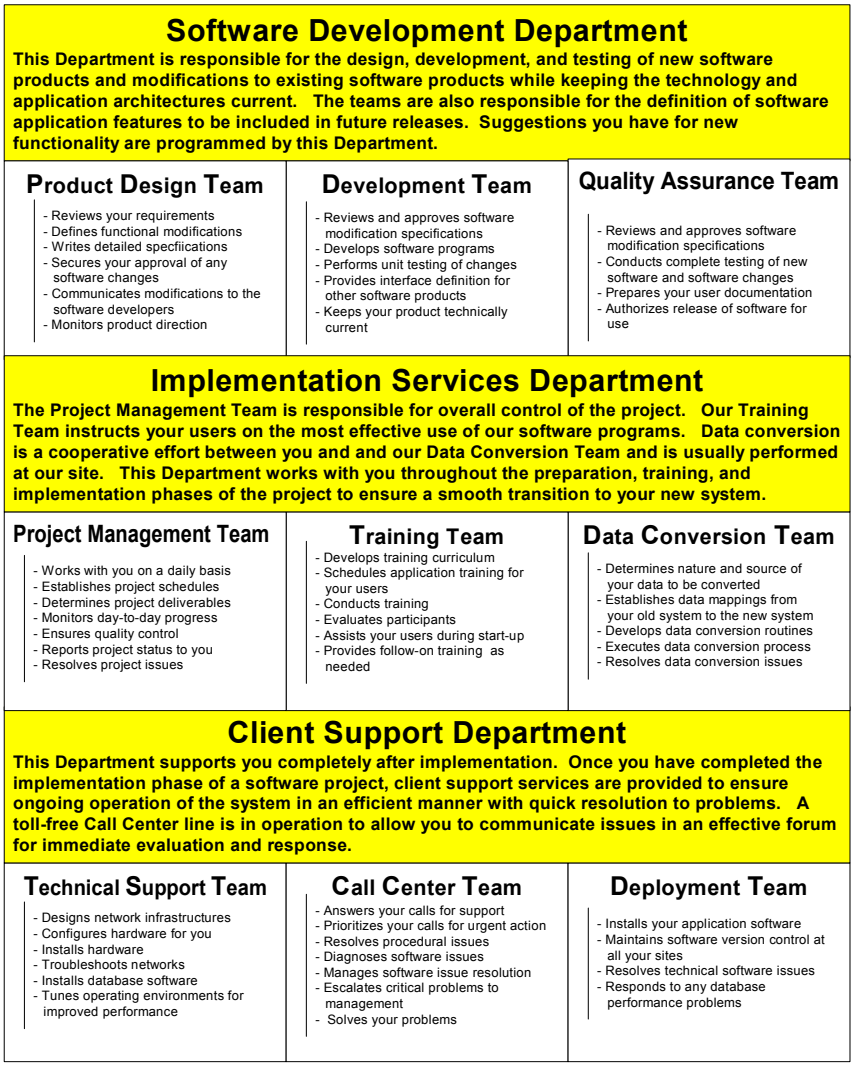


Exhibit 2-2: Justice Solutions Division Organizational Chart illustrates the infrastructure of the division.

The **Public Systems Division** is engaged in health care and human services projects in Africa, the Middle East, South America, and the United States. The division typically undertakes major projects involving the automation of human services agencies and the restructuring of those agencies in anticipation of privatization. Public Systems is currently or recently been involved in the implementation of hospital and health care network systems in Egypt, the re- engineering of a major health care

organization in Egypt, health care and hospital privatization efforts in Uganda, and in Managed Care/HMO restructuring and automation efforts in South America. The division is currently involved in the development of an Oracle-based managed care system for the State of Utah. Both U.S. and international staff provide the products and systems. All systems and services rendered by the division are provided in the native languages of the respective countries in which the work is done. MAXIMUS technical staff has created English, Spanish, and Arabic language products for use in the various countries.

The **Enterprise Resource Planning (ERP) Solutions Division** specializes in implementing web-based and client/server financial management and human resources systems in states, counties, and cities. ERP Solutions was integrated into MAXIMUS in August 1998 and provides an installation and implementation experience highly regarded in the public sector. Through this division, MAXIMUS is a PeopleSoft Global Alliance Partner that specializes in public sector financial management and human resources systems in the areas of information technology strategic planning, Year 2000 impact analysis and planning, business process re-engineering, systems integration and design, and independent verification and validation for information technology. With more than 100 IT consultants implementing ORACLE and Microsoft database technology, ERP Solutions is nationally rated one of the leading partners with PeopleSoft in their public sector business. ERP Solutions has conducted more than 100 implementations since 1991, including major installations in Los Angeles, Sacramento, Seattle, and a host of other cities.

THE MAXIMUS SYSTEMS GROUP IS COMPRISED OF THE SOFTWARE DEVELOPMENT CENTER, INFORMATION PROCESSING CENTER, PUBLIC SYSTEMS, FEDERAL AND INTELLIGENT TECHNOLOGIES, ERP SOLUTIONS, ASSET SOLUTIONS, AND THE JUSTICE SOLUTIONS DIVISION.

The **Asset Solutions Division** specializes in developing packaged software for maintaining large fleets of government vehicles, including some commercial clients, as well as managing large university campuses and government buildings. Asset Solutions supports the maintenance of more than one million vehicles and 80 university campuses. The Division is a leader in web applications and in supporting customer applications loaded on servers at the Asset Solutions Data Center. Asset Solutions provides assistance with requirements definition to data conversion, training, and post implementation auditing. They also take responsibility for integrating other fleet technologies into a client's installation, such as bar-coding or automated fuel systems.

The **Federal and Intelligent Technologies Division** provides expert consulting and integration services to government and industry in the areas of electronic funds transfer, electronic benefits transfer, electronic commerce technologies, smart card technology system design and implementation, enterprise security, point-of-sale and clearinghouse

operations, bio-metric recognition technology, electronic toll collection, and automated fare collection. The Division's solutions are designed to provide optimum effectiveness of re-engineered business processes using object-oriented database technologies, web-enabled information access, and the highest levels of certificate-based public key infrastructure compliant security.

MAXIMUS Human Services Group

MAXIMUS HUMAN SERVICES GROUP COMPRISES OF CHILD SUPPORT AND WORKFROCE SERVICES DIVISION.

The **MAXIMUS Human Services Group** provides on site health and human services on behalf of government agencies. The Group is organized into two operating divisions: the Child Support Division, and the Workforce Services Division. Highlights of the various services provided by each division within the group are as follows.

The **Child Support Division** assists state and local government agencies in operating full-service and specialized-service child support projects. Projects span a broad range of services including outreach, intake, paternity establishment, support order establishment, collections, customer service, enforcement, locate, modification, interstate establishment and enforcement, and payment processing.

The **Workforce Services Division** conducts a wide range of welfare-to-work and welfare reform initiatives in several states and counties across the country. We were one of the first firms in the nation to assist state and county governments in implementing JOBS and other employment-related initiatives, and we have operated welfare-to-work programs in more than 25 locations around the country. In addition to our welfare-to-work program operations experience, we also offer child care and Supplemental Security Income (SSI) advocacy services.

MAXIMUS Health and Consulting Strategic Business Unit

The **MAXIMUS Health and Consulting Strategic Business Unit** contains 3 groups: the **Consulting Services Group**, the **Management and Information Services Group** and the **Health Management Services Group**. The Consulting Group provides the following resources and expertise.

The Consulting Services Group

THE CONSULTING SERVICES GROUP IS COMPRISED OF THREE SERVICE AREAS; EDUCATION, CHILD WELFARE, AND REVENUE SERVICES.

The **Consulting Services Group** provides state and local government agencies with program and financial consulting in the areas of health and human services. This Group contains three divisions providing financial consulting in these service areas: Education, Child Welfare and Revenue Maximization. Much of the group's work entails identifying and obtaining

additional federal funding for state agencies under Medicaid, Title IV-E, and other entitlement-based programs. The Group also advises state agencies on policy, program, and operational changes that will allow state services to be provided more effectively and efficiently. In addition, the division is regularly involved in state Title IV-A Emergency Assistance, TANF, Food Stamp, WIC, Child Support Enforcement, juvenile justice, public employment, maternal and child health, mental health, and developmental disability programs. The Division has also led large projects involving Internet Technology, Municipal Information Systems, Police Information Systems and Business Process Reengineering.

The Health Management Services Group

The **Health Management Services Group** extends health management services to welfare and other health and human service populations in a range of areas including outreach, marketing, education, eligibility determination, enrollment, disenrollment, transfer, management information systems, customer service, premium processing, and hotline operations. MAXIMUS operates the largest Medicaid enrollment services contracts in the nation. We employ a large number of specialists, enrollment counselors, and case advocates in our various program offices around the country. This Group is broken down by geographic regions: Eastern, Western and Central, and includes a Professional Services Division.

The Management and Information Services Group

THE MANAGEMENT AND INFORMATION SERVICES GROUP CONSISTS OF THREE DIVISIONS; THE HUMAN SERVICES TECHNOLOGY DIVISION, THE INFRASTRUCTURE TECHNOLOGIES, AND THE MANAGEMENT AND FINANCIAL SERVICES DIVISION.

The Management and Information Services Group contains three divisions: the Human Services Technology Division, the Infrastructure Technologies Division and the Management and Financial Services Division.

The **Human Services Technology Division** provides a range of systems consulting support services to state and local government agencies. The division concentrates on management assistance to health and human services agencies seeking expertise in systems planning, design and integration, quality assurance, and procurement support. Areas of expertise include public service employment programs; all human service programs, such as TANF, Child Support Enforcement, Child Welfare, Women Infants and Children (WIC), Medicaid, Food Stamps, JOBS, and health care delivery; and issuance systems, including Electronic Funds Transfer (EFT) and systems supporting other managed care initiatives. The focus is to help states integrate different systems so all services to a single client can be managed more efficiently and effectively.

The **Infrastructure Technologies Division** provides services that focus on helping government agencies better manage their information resources. Infrastructure Technologies has implemented consulting engagements in all areas of government organization and has extensive knowledge of the fiscal structure of states through work with state auditors, comptrollers, and treasurers. They also have a significant understanding of the programmatic area of state government through close contact with many types of state agencies. The Division provides a variety of information technology services and is a recognized leader in providing quality assurance services for child welfare, healthcare, and financial management systems to state governments all across the country. Through the Infrastructure Technologies Division's Advanced Technology Center located in Richardson, Texas, MAXIMUS is an Alliance Partner of Microsoft. The staff consists of highly technical web programmers with knowledge of JAVA, Visual C++, and Visual Basic.

The **Management and Financial Services Division** provides management, financial, and operational services to more than 2,000 public sector agencies and not-for-profit organizations. The Division offers high quality, value added consulting services that allow clients to maximize expenditures and enhance operational efficiencies while achieving high levels of accountability. Management Services provides a broad range of services nationwide, including cost allocation plans and indirect cost rate proposals, human resources consulting, activity-based costing, executive recruitment, operation reviews and audits, disaster and grants management, and higher education. The Management Services consulting group has six regional groups operating in over 34 states throughout the nation. Management Services also wields a leading executive search firm based in Los Angeles, California. This group provides a broad scope of executive recruitment activities in fields such as health care, higher education, counties, utilities, and transportation. The Management Services Division of MAXIMUS offers the pre-eminent government executive recruiting firm in the country, enabling us to offer a wider range of services to our new and existing clients.

MAXIMUS Corporate Group

THE MAXIMUS CORPORATE GROUP IS COMPRISED OF INVESTOR RELATIONS, GENERAL COUNSEL, FINANCE AND ACCOUNTING, ADMINISTRATIVE SERVICES, GOVERNMENT AFFAIRS, AND THE OFFICE OF INFORMATION SERVICES.

There are six departments within the **MAXIMUS Corporate Group** that support the corporation as a whole. These departments are housed in our corporate headquarters in Reston, Virginia and provide a range of services that support all MAXIMUS contracts and programs.

Investor Relations is responsible for managing most corporate communication with both existing and potential investors relating to our membership with the New York Stock Exchange.

General Counsel supports all elements of the company's business to ensure compliance with applicable laws, regulations, and contractual obligations. Responsibilities include SEC filings, contract/RFP review, disputes and litigation, mergers and acquisitions, and general risk management.

Finance and Accounting is responsible for management of all financial aspects of MAXIMUS contracts, including job cost accounting, payroll processing, and overall financial management.

Administrative Services manages all corporate activities relative to facilities management, human resources, corporate policy and procedures, purchasing and acquisition, document production, word processing, graphic design, and copy services.

Government Affairs is charged with publicizing MAXIMUS services. Their work involves explaining the benefits of privatization to state and local government officials through various media such as print and video.

The **Office of Information Services** supports the internal automated systems and telecommunication needs of MAXIMUS.

2.2 CORPORATE QUALIFICATIONS

OUR CLIENTS WILL TESTIFY TO OUR ABILITY TO ANALYZE, DESIGN, AND IMPLEMENT COMPLEX COURT SOLUTIONS IN A MYRIAD OF ENVIRONMENTS.

MAXIMUS is well qualified to provide the Division with a comprehensive Case Management System. MAXIMUS is familiar with the challenges of case processing integration, and has successfully provided high quality case management systems to many clients throughout the United States. Out clients will testify to our ability to analyze, design, and implement complex court solutions in a myriad of environments. MAXIMUS has implemented our prosecutor, court, public safety, jury, and recorders office software product throughout the United States.

2.2.1 MAXIMUS JUSTICE SOLUTIONS QUALIFICATIONS

The MAXIMUS Justice Solutions Division references are mentioned in Section 3, 4, and 5 of this proposal. These references have been organized by Case Management System, Data Warehouse Provider, and Ancillary Services/Project Management Provider.

2.2.2 MAXIMUS EXPERIENCE IN INDIANA

MAXIMUS IS COMMITTED TO SERVING THE STATE OF INDIANA.

MAXIMUS is proud of our service and economic contribution to Indiana. Our commitment to the government and its residents remains unswerving as we continue to embrace and live up to our mission of "*Helping Government Serve the People.®*" We are committed to serving Indiana and the needs of its residents with high quality contract implementation. Our discussion of our contributions to Indiana is organized as follows.

- Section 2.2.2.1: Provider of Development and Implementation Services.
- Section 2.2.2.2: IN FSSA Financial Management;
- Section 2.2.2.3: IN FSSA/DFC Child Welfare;
- Section 2.2.2.4: IN FSSA/DFC/BCD First Steps;
- Section 2.2.2.5: Indiana EBT Technical Support Project;
- Section 2.2.2.6: INDIANA STATE POLICE FLEETFOCUS M4 Upgrade; and
- Section 2.2.2.7: Indiana University System (IUS), Maintenance Management System (MMS) Project.

2.2.2.1 PROVIDER OF DEVELOPMENT AND IMPLEMENTATION SERVICES

MAXIMUS IS A PROVIDER OF DEVELOPMENT AND IMPLEMNTATION SERVICES FOR THE INDIANA FAMILY AND SOCIAL SERVICES ADMINISTRATION.

Effective October 1, 2001, the Indiana Family and Social Services Administration selected MAXIMUS as the contractor responsible for a greatly enhanced contracting initiative combining and enhancing services formerly contracted independently by FSSA Financial Management; the Division of Family and Children, Bureau of Family Protection and Preservation; and the Bureau of Child Development, First Steps. Prior to October 1, each of these agencies contracted with MAXIMUS.

The initiatives included in this new $21 million contract are as follows.

- Cost Allocation Initiative. MAXIMUS is preparing indirect cost plans; performing time and effort sampling; assisting in the management of administrative costs of the State's programs and services to assure proper allocation of costs; has assigned an on-site cost allocation specialist to work with the State's financial management staff; is developing, revising and processing cost reports; and, is establishing and maintaining a system to track compliance with applicable federal match or Maintenance of Effort requirements for federally assisted programs operation by the FSSA, Division of Family and Children.

- Foster Care Licensing Initiative. MAXIMUS, as a part of this initiative, is conducting a comprehensive annual review of residential child caring facilities to determine compliance with Title IV-E eligibility

requirements; will provide training for field consultants responsible for licensing; and establish and implement procedures for the coordination of data between the Indiana Child Welfare Information System and affected offices and units within the Division of Family and Children.

- Foster Care Initiative. This initiative includes the review of provider claims submitted to local Offices of Family and Children; the ongoing review of Title IV-E program, policy and procedures for compliance with State and Federal policies and procedures; the provision of written recommendations for program enhancement; Foster Care eligibility case reviews; technical support; and, training initiatives.

- Financial Reviews Initiative. MAXIMUS will continue to conduct annual financial reviews of cost reports for residential child caring facilities and licensed child placing agencies.

- Supplemental Security Income Initiative. MAXIMUS is developing and implementing procedures to centralize the process for identifying children served by Indiana's child welfare program who potentially meet the eligibility criteria for SSI; taking SSI applications; developing medical evidence substantiating the child's claim for eligibility; submitting claims to the appropriate SSA office and following the progress through the decision-making process of the Disability Determination Bureau. During the four-year term of the contract, MAXIMUS will make recommendations relating to appeals of negative findings, as appropriate, and provide technical support during the hearings and appeals process.

- Adoption Assistance Initiative. MAXIMUS is providing a review and analysis of Indiana's Adoption Assistance program with a focus on maximizing federal financial participation for administrative and training costs and reconciliation of case count discrepancies between Title IV-E adoption assistance cases and non-IV-E cases.

2.2.2.2 IN FSSA FINANCIAL MANAGEMENT

MAXIMUS PROVIDED SERVICES RELATING TO COST ALLOCATION, RANDOM MOMENT SAMPLING, AND RATE SETTING IN THE INDIANA FSSA FINANCIAL MANGEMENT.

MAXIMUS has been the provider of claiming support services for the State of Indiana since 1992. Amendments and re-contracting have ensured a continuum of service to the State and a continuing relationship with the Indiana Family and Social Services Administration (FSSA). Effective October 1, 2001, these services were enhanced and wrapped into a new, more comprehensive $21 million four-year contract.

As a part of our consulting services contracts, MAXIMUS provided services relating to cost allocation, random moment sampling, rate setting for Title IV-E residential child caring and child placing agencies, and assisted with the preparation of cost plans/indirect proposals. Staff also assisted with Title IV-E residential cost reports and financial reviews.

2.2.2.3 IN FSSA/DFC CHILD WELFARE

IN THE INDIANA FSSA/DFC CHILD WELFARE PROJECT, MAXIMUS REVISED AND UPDATED THE STATER PLANS FOR FULL COMPIANCE OF FEDERAL LAWS AND REGUALTIONS.

MAXIMUS assisted the State of Indiana in revising and updating its state plans for full compliance with requirements of current federal laws and regulations applicable to child welfare services and programs funded through Titles IV-B and IV-E of the Social Security Act. Specific tasks included:

- Interpretation of the impact on the State's programs and plans under Title IV-B and IV-E for administration of federal funds of newly promulgated Title IV-E federal rules. MAXIMUS provided reports that analyzed and made recommendations on actions needed by the State to comply fully with these regulations;

- IV-E State Plan review and modifications. MAXIMUS provided reviews of the Title IV-E plan with recommendations for modifications necessary to obtain federal approval of the Title IV-E State.

- IV-B State Plan and planning process. MAXIMUS provided recommendations for modifying the existing State Plan and provided in-depth recommendations and assistance in preparing the State's Annual Progress and Services Report.

- Components of this contract have been included in a new contract with the Division of Family and Children entitled Provider of Development and Implementation Services. This $21 million contract is for the period from 2001 to 2005.

2.2.2.4 IN FSSA/DFC/BCD FIRST STEPS

MAXIMUS CONDUCTED A RANDOM MONENT PROCESS FOR THE FIRST STEP PROGRAM FOR THE INDIANA FAMILY AND SOCIAL SERVICES ADMINISTRATION.

In 1998, MAXIMUS was awarded a contract by the Indiana Family and Social Services Administration, Division of Family and Children, to design, implement and conduct a random moment process for the First Step program. Along with the generation of routine and ad hoc reports, MAXIMUS established an 800 toll-free customer support line, performed tasks involved in generating the administrative portion of the associated federal claim, and provided senior level technical support and assistance

with system modifications necessitated by federal and other regulatory changes. The services continue to be provided under a new contract entitled Provider of Development and Implementation Services, effective 2001 through 2005.

2.2.2.5 INDIANA EBT TECHNICAL SUPPORT PROJECT

MAXIMUS IMPLEMENTED THE ELECTRONIC TRANSFER FOR THE STATE OF INDIANA.

MAXIMUS has been retained to assist the State of Indiana in its implementation of the Electronic Benefits Transfer (EBT) contract with Citicorp Services, Inc. Specifically, MAXIMUS will assess all technical deliverables under that contract, assure State policy conforms with Federal Requirements, verify the system designed & implemented by Citicorp fully meets all State requirements, and provide support on operation issue and concerns that may arise during the implementation.

2.2.2.6 INDIANA STATE POLICE FLEETFOCUS M4 UPGRADE

This abstract summarizes all subtasks: ISP Conv, ISP PM, ISP Training, and IN State Police Voyager Fuel Interface.

Indiana State Police has been a client of MAXIMUS for several years, using GEMS 2000, a character based fleet management system. In 2000, they signed a contract with MAXIMUS to upgrade their software to FleetFocus M4, and to perform necessary data conversion, interface conversion, training, and project management to support this upgrade.

The project began in August 2000 and completed in July 2001.

2.2.2.7 INDIANA UNIVERSITY SYSTEM (IUS), MAINTENANCE MANAGEMENT SYSTEM (MMS) PROJECT

MAXIMUS IMPLEMENTED FACILITYFOCUS, A 100% WEB-ENABLED EAM SOULTION, FOR INDIANA UNIVERSITY.

The Indiana University System (IUS) services nearly 100,000 full- and part-time students at eight campuses across the State of Indiana. In October of 1997, MAXIMUS (through its Asset Solutions Division) was awarded a contract by IUS to implement a comprehensive, computer-based Maintenance Management System (MMS) to replace a disparate combination of paper-based processes and an antiquated mainframe system.

MAXIMUS implemented FacilityFocus(*i*)™, a 100% Web-enabled Enterprise Asset Management (EAM) solution that tracks maintenance and operations activities across multiple campuses of the IUS. With FacilityFocus(*i*)™, the IUS tracks:

- Work Management – Capital Projects and Renovations, Preventive Maintenance, and On-demand (Emergency) Maintenance;
- Inventory Control – Serialized Inventory (Equipment) Management, Purchasing, Receiving, and Storeroom Issues/Returns;
- Finance – Customer Billing/Chargeback and Budget/Account Management; and
- Property and Floor Space Management.

Implementation of the FacilityFocus(*i*)™ system began with the Physical Plant at the main campus in Bloomington, which now centrally administers FacilityFocus(*i*)™ for all IUS campuses. Later expansion encompassed Campus Housing in Bloomington and the Indiana University Purdue University – Indianapolis (IUPUI) campus (access is accommodated via the IUS Intranet). The IUS plans to incorporate the remaining six campuses over the course of 2002-2003, resulting in a maintenance system that manages over 3,500 acres of state property, 729 buildings, and 25.5 million gross square feet of floor space.

2.3 FINANCIAL VIABILITY

OUR OWN REVENUES HAVE GROWN FROM $30 MILLION IN FY 1994 TO NEARLY $500 MILLION PROJECTED THIS YEAR.

MAXIMUS recognizes the need for you to contract with only financially capable vendors, because we too believe a strong financial base is an essential factor in ensuring the success of the Statewide Judicial Case Management Software System. Each year since the company was formed in 1975, MAXIMUS has achieved profitability. As demonstrated below, we are financially responsible, stable, and possess the financial resources sufficient to successfully provide the proposed scope of services and handle the volumes projected within the required timeframes.

MAXIMUS is a financially strong company. Our revenues have grown from $30 million in FY 1994 to nearly $500 million projected this year, as shown in *Exhibit 2-3: MAXIMUS Growth FY 1994-FY 2001*. We have been profitable for 25 years and enjoy a very strong balance sheet, with a net worth of approximately $225 million. Presently, MAXIMUS commands a high financial rating, of 5A2, from Dun & Bradstreet, reflecting their assessment of both our financial statements and our credit worthiness, as strong. We are listed on the New York Stock Exchange, which claims to have "the best managed companies in the world." You can review our finances by checking under the symbol MMS. MAXIMUS also is included in the Russell 2000 Index and S&P 600 Small Cap Index. As a public company, our finances are fully disclosed to the Securities and Exchange Commission.

In *Appendix A* MAXIMUS has provided as annual report for FY 2000, which includes audited financial statements for the past three years and is complete with notes and auditor opinions, and a 10-K report.

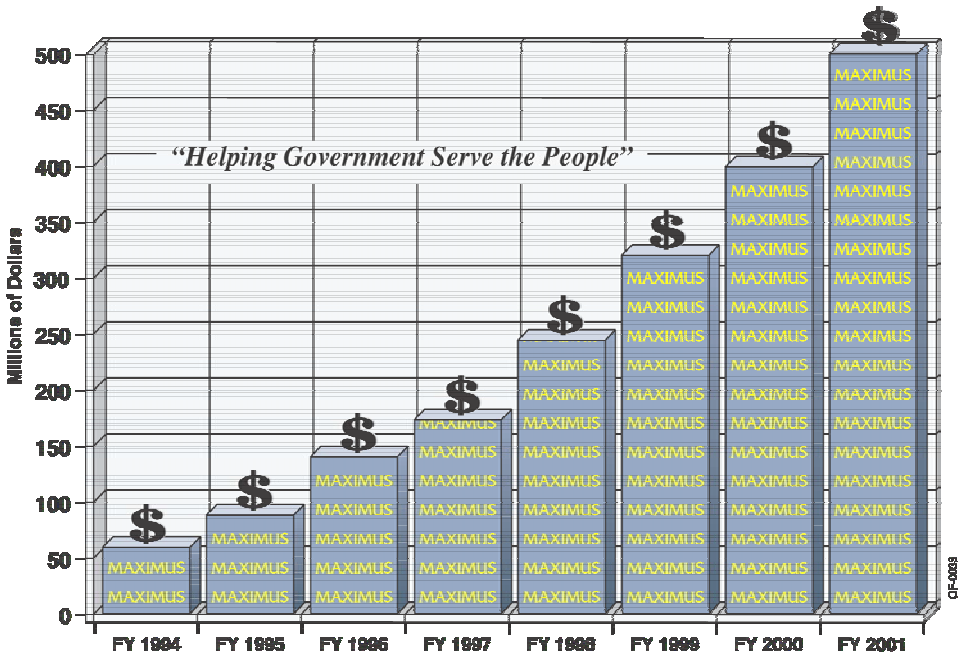


Exhibit 2-3: MAXIMUS Growth FY 1994-FY 2001 **demonstrates the tremendous financial growth MAXIMUS has had over these eight years.**

3. CASE MANAGEMENT SYSTEM (CMS)

THE DISCUSSION OF OUR PRODUCTS IS ORGANIZED AS FOLLOWS:

√ Section 3.1: CourtView Overview;

√Section 3.2: Value Added Options;

√Section 3.3: Implementation;

√Section 3.4: Support and Maintenance; and

√Section 3.5: Qualifications and Staffing.

MAXIMUS has worked with every state, most federal agencies, and over 4,000 local government entities to solve complex problems. Our commitment to the ongoing development of our product lines has continued without interruption for 25 years. The MAXIMUS Justice Solutions Division has over 15 years experience providing hardware and application software solutions for courts, jury commissions, public safety facilities, and recorders nationwide. The MAXIMUS Project Team combines an understanding of your goals and objectives with our technical knowledge to ensure the successful implementation of this important project.

CourtView® was developed using state-of-the-art software development technologies to allow for future expansion, portability, and scalability in an "open systems" environment. As a single-source provider, with no subcontractors needed, MAXIMUS supplies the necessary components for a successful automation initiative. From initial site analysis to post-implementation support, we work together with you to achieve our common goal; increasing your office efficiency and improving your workload management.

3.1 COURTVIEW® OVERVIEW

MAXIMUS offers CourtView, a richly featured and fully integrated case management system for the Indiana Statewide Judicial Case Management Software System. The following sections describe the strengths and benefits of our case management system. These sections include CourtView software product, the history of CourtView, other related products, courts supported by CourtView, and services provided by MAXIMUS Justice Solutions Division.

3.1.1 COURTVIEW SOFTWARE PRODUCT

CourtView, our flagship product, satisfies the operational requirements of courts of general jurisdiction, limited jurisdiction, and special jurisdiction including, among others, juvenile, probate, and traffic.

The CourtView Court Case Management System is a proven, real-time interactive Windows and Web-browser-based information system. It is a

proven, commercially available product easily customizable to a client's needs. CourtView automates the case management, docketing, scheduling, financial processing, document imaging, and report generation of cases at all stages of the judicial process. The key feature of CourtView is the complete integration of all court functions within one product. Case information is automatically updated for viewing at the time the data is entered, providing up to the minute information on a case. CourtView supports Circuit, Superior, Family, Municipal, and Magistrate Courts with an unlimited number of case types.

ELECTRONIC FILING IS RAPIDLY BEING A HOT TOPIC IN VIRTUALLY EVERY COURT-RELATED FORUM.

As the need for court case information grows, so has the need to access the public data contained in the database from outside of the courthouse or Clerk of Courts office. CourtView provides for public access to court records using two methods, depending on the size of the court and the need for remote access as determined by the court: Remote Access to the CourtView Application Software via Dial-In Modems, and Internet-Based Public Access.

Electronic filing is rapidly becoming the hot topic in virtually every court-related forum. It seems that every court is interested in implementing electronic filing. Attorneys throughout the country are supporting the concept of filing and retrieving documents and data without the burden and cost associated with physically going to the courthouse or paying a messenger**.** CourtView has a module that allows attorneys to directly interface with the CourtView product installed at the court and bypassing the court clerk's manual data entry/review process still required by other electronic filing systems on the market. This approach is more efficient and reduces court costs to process filing requests.

CourtView provides rapid case creation, linking of related cases, integrated receipting and automatic bookkeeping, imaging of documents onto magnetic or optical storage media, and scheduling of various court activities. CourtView's inherent flexibility offers user-defined, table-driven codes and a multitude of user-selectable menu items. These features allow for the customizing of each CourtView module to the specific needs of each court. Codes provide quick and easy input of data and also reduce input time and error margin. In addition, the system's on-line help feature allows you to review a list of these codes so valuable time is not spent memorizing them. *Appendix B* provides an overview of the features of the CourtView product. *Exhibit 3-1: CourtView Benefits,* details how our system will work for you.

CourtView Case Management	Benefit to You
Keep Up-To-The-Minute Case Records	You can easily enter, update, inquire, and report court cases.
Assign Case Numbers Automatically	System automatically assigns a case number for you. You can override the feature for entry of historical case information.
Single Point of Data Entry	You only have to enter the information once. Once parties are entered, they are automatically indexed. You define the information.
Quickly and Easily Retrieve Case Information	You can retrieve cases by many different criteria including case number, name, Social Security Number or ticket/citation number. Cases are categorized by case types, which you-define. Cases can be customized for each court.
Supervisors Have Control Over CourtView Access.	Due to the highly sensitive nature of your information, our system allows you the ability to choose security levels based on the seniority of your employees. Accounting and security controls are provided on several levels to protect court information. CourtView utilizes three layers of security to protect your information.
Supervisors Can Monitor User Activity	You can track who is doing what, and when. All user activity is audited.
CourtView Forms and Reports	**Benefit to You**
Produce Forms From CourtView That Automatically Enter Required Information	You can create, edit, and print desired forms. The forms generator interacts with CourtView to retrieve case-specific data, eliminating the need to re-key case information. As requirements change, forms can be quickly adapted to meet new criteria.
Create All The Reports You Need	Since numerous standard reports are maintained, you can quickly and efficiently demand case reporting. Crystal Reports, the ad hoc report generator, allows you to create and define your own reports.
Produce Year End 1099 Forms	You can view a history of each payment transaction of the accumulative 1099 amount. At the end of the year, 1099s can be quickly and easily generated.
CourtView Judicial	**Benefit to You**

CourtView Case Management	Benefit to You
Automatic Event Scheduling with Conflict Checking	You can manually or automatically schedule and monitor all event activity. During scheduling, the system takes certain factors into consideration to avoid conflicts, including the tickler file, judge availability, courtroom availability, and the attorneys' availability.
Automatic Production of Calendars and Notices	To save you time and labor, schedules and calendars are automatically produced, notices are automatically generated, ticklers are activated/inactivated based on actions and results, and all court activity is tracked.
Automated Random Judge Assignment	To save you time and to ensure that cases are fairly distributed, the system checks the judge file to determine which judges hear each case type, then randomly assigns an applicable judge. You can change the assigned judge if necessary.
Judges Can Maintain Personal Case Notes	As an organizational aid, the system gives judges the ability to keep notes on-line for any case in the system. Notes are maintained in the judge's file and can only be accessed by the judge responsible for creating them.
All Cases Meet Required Deadlines When Using Ticklers	You are alerted cases with time-sensitive requirements so the proper steps can be taken to ensure necessary scheduling. Notices may also be sent to you indicating that a deadline is approaching or is past due.
CourtView Imaging	**Benefit to You**
Decrease Paper Volume With Document Imaging	Document Imaging allows you to capture, display, store, and print documents in the form of digitized images. Images are automatically compressed as they are scanned into the system to allow maximum utilization of disk space.
Integrated Imaging Allows Quick Retrieval To Documents	Since imaging is completely integrated with the system, you can access or print information with a single keystroke. If searching for a particular document, you can use the system's indexing capability to find a docket entry quickly, and view or print the document or case file.
CourtView Warrant Tracking	**Benefit to You**
Integrated Warrant Checking	You can input and generate warrants. Once a person is flagged with an outstanding warrant, a message will be displayed throughout the system indicating an outstanding warrant exists on this party.
CourtView Accounts Receivable	**Benefit to You**

CourtView Case Management	Benefit to You
Automated Accounts Receivable	CourtView can automatically create accounts receivable records. The system will automatically divide costs equally among several parties or divide costs individually per party.
You Define the Payment Schedule	You can define payment frequency and payment amount, send delinquent notices, post to the correct accounts at the time of payment in hierarchical fashion, and create a payment contract.
Easily Produce Payment History Reports and Retrieve Payment Information	The system maintains complete A/R payment history information and provides a myriad of statistical reporting capabilities. A/R records can be retrieved via case number, name, or Social Security Number.
CourtView Cash book	**Benefit to You**
Automatically Apply Case Fees and Fines.	You can automatically attach fees to docket entries on specific cases during creation, as well as for subsequent filing entries. Deposits, court costs, fines, and other monies are automatically calculated for each case and posted to the correct accounts at the time of payment.
Keep One Case History	You can maintain complete case payment history and allow for full or partial payments. Receipts are automatically generated.
Performs All Required Accounting Functions	You can accept deposits, distribute and apply funds to financial accounts, disburse daily and monthly checks, void transactions, reprint receipts, and adjust transactions. All financial transactions are restricted by security, and a complete audit trail is provided.
Quickly and Accurately Generate Daily Balancing	At the end of the day, the system produces a daily receipt listing to aid you in balancing. The daily receipt listing displays all receipts produced for the day with detail breakdown.
Posts Information To Accounts and Prints Checks	The system will automatically post information to the correct account, print checks, and update all financial information.
Balances Bank Statements	The system assists you with balancing bank statements and other essential bookkeeping tasks by providing numerous displays and reporting detail activity. As monies are deposited, the system automatically updates all appropriate banking information such as debits, credits, and current balance.
Automatically Produces Financial Reports	To save you time, the system automatically produces open item reports, monthly detail reports, bank- balance listings and automatically performs end-of-month processing and check reconciliation.

Exhibit 3-1: CourtView Benefits illustrates how are system will work for you.

3.1.2 HISTORY OF COURTVIEW®

MAXIMUS has provided automated integrated court case management systems to courts throughout the United States for over 15 years. *To date, we have successfully implemented CourtView in more than 225 courts and offices with more than 6,000 users.*

The current version of CourtView is v2.8. The initial CourtView product was a legacy application, with the first installation in 1988 in Butler County, Ohio. In 1996, CourtView was migrated to a Windows (GUI) based system. CourtView has been ported and is operational in the following technical environments:

- Operating System Software:
  - Unix (AIX, SCO, HP/UNIX, Tru64UNIX),
  - Windows NT, and
  - Novel.

- Database Software:
  - Oracle,
  - M/S SQL Server, and
  - Informix.
  - DB2 (Prototype)

- Hardware environments:
  - IBM,
  - HP,
  - Unisys,
  - Compaq, and
  - Intel (multiple platforms - Dell, Gateway, Compaq, HP).

Using the Uniface Database Driver features, the application maintains a single source code line while allowing it to operate in a variety of database environments. The installations have been performed on the most popular and requested database platforms.

Detailed information about the hardware platform to support CourtView has been provided in *Appendix C.*

3.1.3 RELATED PRODUCTS

There are related products that directly interface with CourtView as follows:

- **JuryView** - JuryView is a Jury Management System that provides for the complete management of the jury process which includes the creation and maintenance of master jury lists, creation of an annual list, notice generation, randomization of jurors, jury attendance, jury payment, and statistical reporting.

- **JailView** - JailView is a state-of-the-art Jail Management System that allows you to operate your jails more effectively, safely, and efficiently. This system has been developed over the past several years and meets the needs of operating facilities.

OUR APPLICATION SOFTWARE PRODUCTS INCLUDE COURTVIEW, JURYVIEW, RECORDVIEW, AND JAILVIEW.

- **RecordView** - RecordView Record Management System is an interactive, menu-driven system that automates a county recorder's office. RecordView provides document imaging, receipting, entry, indexing, and maintenance information, which are automatically updated at the time of data input, providing up-to-the-minute information accessibility. In addition to its receipting and recording capabilities, the system uses document-imaging technology that allows you to scan, store, recall, and print documents. This automated system provides instant access to data and paper-based information.

3.1.4 COURTS SUPPORTED BY COURTVIEW

In meeting the demands of our market, MAXIMUS has developed several application software products, including:

- CourtView,
- JuryView,
- Adult Probation/Pretrial System,
- Juvenile Probation,
- Prosecutor System,
- Juvenile Detention Center,
- RecordView,
- JailView, and
- Public Defender.

These systems are easily integrated with other sophisticated technologies to further enhance agency operations, such as:

- Integrated Document Imaging;
- Remote FAX capabilities;
- Web-Based Public Access;
- Forms and Notice Generation;
- Integrated Word Processing, Spreadsheet, and Utilities; and
- Electronic Filing.

Our CourtView software product has been implemented in the following courts:

- Common Pleas/General Division (Civil, Criminal, Domestic Relations);
- Juvenile Court;
- Probate Court; and
- Traffic/Area Courts.

In addition, CourtView has been implemented in these offices:

- Prosecutor,
- Juvenile Detention Center,
- Probation and Pretrial Services, and
- Public Defender.

3.1.5 SERVICES PROVIDED BY MAXIMUS JUSTICE SOLUTIONS DIVISION

MAXIMUS CAN DESIGN, DEVELOP AND IMPLEMENT OUR PRODUCT, ALONG WITH PROVIDING POST IMPLEMENTATION SUPPORT.

MAXIMUS provides all the services required to implement and support our software products. We are a mature company that supports customers nationwide. MAXIMUS can design, develop, and implement our products as well as provide post implementation support. Our implementation teams are particularly capable of automating jurisdictionally diverse courts, dispersed over numerous locations sharing common database and code table structures. We also provide ongoing support to over 6,000 CourtView users. These services are administered through our call center located in North Canton, Ohio. To date, we have successfully resolved over 100,000 user calls. The nature of calls ranges from problem reports to live support of the application.

3.1.5.1 TECHNICAL APPROACH TO SYSTEM INTERFACES

MAXIMUS HAS HAD GREAT SUCCESS IN THE CREATION OF SYSTEM INTERFACES. OUR STATE OF THE ART TECHNIQUES PROVIDE COMPREHENSIVE AND RELIABLE TRANSFERS OF DATA TO AND FROM OUR PRODUCTS AND OTHER SYSTEMS.

MAXIMUS has had great success in the creation of system interfaces. Our state of the art techniques provide comprehensive and reliable transfers of data to and from our products and other systems. This section of the proposal addresses the technical approach for exchanging information between CourtView and any application using an XML interface. The two applications will need to receive and send data related to identity, warrant, bond, case, and so forth. The data and request for data is passed between the two applications using an XML format.

3.1.5.2 API

The interface is built two under methods for exchange data. The first method is by a batch interface. This method involves pushing information to the foreign system once a particular event or status has occurred. (for example: disposition or sentencing information has been applied to a case or charge). The second method is by data request. This method involves accepting request for specific information and building a response. (for example: requests for warrant information on a given person)

- **Batch Interface** - The batch interface process involves receiving both inbound and outbound data. Inbound data is loaded into temporary tables used to receive the data into the database from the XML data files. Once received the XML Drone process will execute the appropriate service or hidden form to process the information. Outbound records will be tagged for transmission when specific events occur within the processing. The data will be loaded into temporary tables used to build the XML data file for transmission to the foreign system.

- **Request Interface** - The data request process is initiated based on a request for information from one application to another. The data request record is created within the request queue table. A request ID is generated for each request and is used to link the request record back to the data received from the source application. The request history/log table is maintained as the request is processed with the application for both in bound and outbound request.

3.1.5.3 XML SCHEMA

There are two primary approaches to defining the XML that will be extracted from or imported into CourtView. A DTD or Document Type

Definition can be used to define the legal building blocks of XML. The DTD allows independent groups of people to agree on a common format for the interchange of data. A DTD can be included in the actual XML document or can exist as a separate file.

An XML Schema is the alternative to DTDs. The XML Schema, constructed in XML, describes another XML document. Because it is written in XML, it could be processed by an application in the same fashion as any other XML document. Another advantage to XML Schema, which will replace DTDs eventually, is the support for describing data as being a certain data type.

THE CHIEF PURPOSE OF THE INTERFACE APPLICATION IS TO TRANSLATE THE DATA SENT TO OR RECEIVED FROM COURTVIEW.

3.1.5.4 XML TRANSLATION AND MIDDLEWARE DEFINITION

Interfacing two different systems using XML may require some type of translation process between CourtView and the foreign system. Because XML output from CourtView may not contain tags recognizable to the foreign system, we can translate the CourtView tags into the appropriate tags, useful to the interfaced system. This function is the main purpose of the Interface application. We are calling this Interface application the middleware. The scope of the Interface application (middleware) is responsible for the exchange functions routing and transformation of the interface data between the applications.

The chief purpose of the Interface application is to translate the data sent to or received from CourtView into the appropriate format. While XML traveling to and from the interfaced system is the goal, we may need to reformat XML bound for the interfaced system not capable of handling XML into a file in a table format (for example: fixed length fields). The middleware must have the appropriate controls in order to make it flexible. The functions below are applicable to either data being sent to or received from CourtView and are include within the Interface application:

- **Code Substitution –** Because codes with the same meaning vary in different systems, we must translate the code as it is passes through the translator process.

- **Element Substitution –** The elements or attributes of the XML flowing to and from the translator process may need to be changed to be correctly processed.

- **Element/Relationship Restructure –** The structure of the XML flowing to and from the translator process may need to be restructured in order to be correctly processed by a foreign system.

- **Messaging/Routing –** The interface module may include functionality to send and receive data from/to multiple disparate systems.

- **Data Storage –** It may be necessary for the middleware to store data. This data may be used by a system that periodically searches the database for information it may need at any given point.

- **Code Cross Reference –**Translate the general code values from one application to another.

Exhibit 3-2: Interface Module Data Flow, depicts this process.

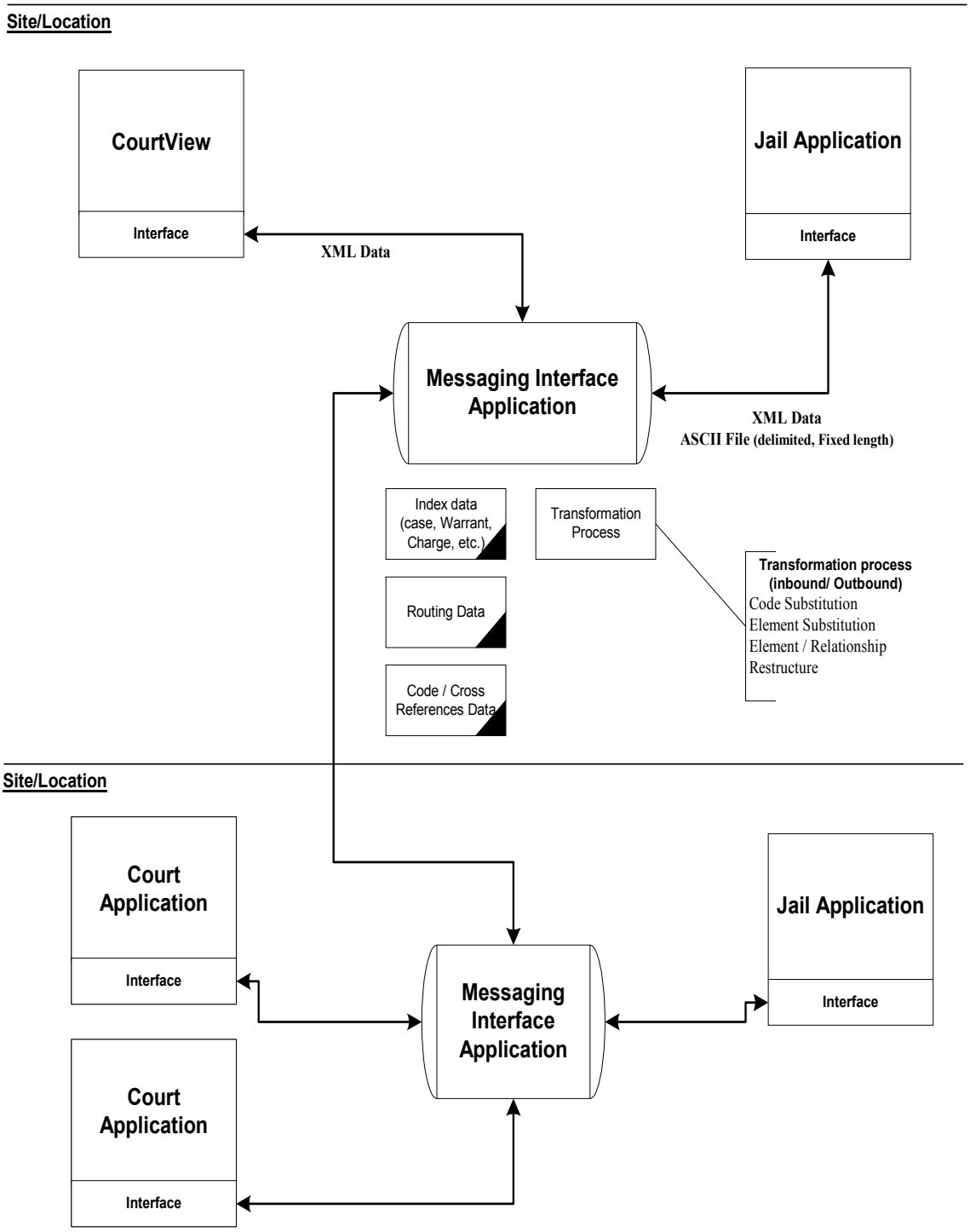


Exhibit 3-2: Interface Module Data Flow depicts the data exchange format.

The Routing and Messaging Process is composed of several components. A database is necessary to store data to be routed, and the information that will drive the XML Transformation Process. Database tables describing:

- XML data being received by the RAM process that need to be translated into the proper Uniface format; and
- XML data being output by the RAM process which need to be translated into the desired format of the interfaced system.

Exhibit 3-3: Transformation Process depicts this process.

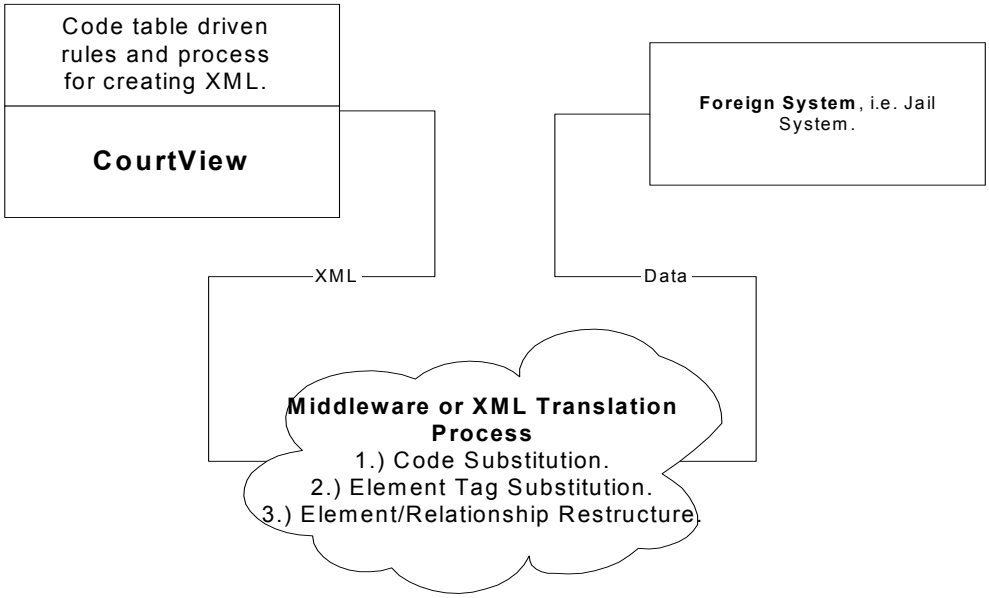


Exhibit 3-3: Transformation Process details the activity of the XML transformation process [or middleware].

When data enters and leaves the RAM, it passes through a process that performs queuing, routing, and prioritization functions. This process may need information from the RAM database. Data manipulation within the RAM process can be accomplished with ActiveX Data Objects [ADO].

We have provided an overview of our software development methodology in *Appendix D.*

The transformation process will use the DOM and connect to the RAM Database using ADO as mentioned above. *Exhibit 3-4: Data Processing Flow Chart*

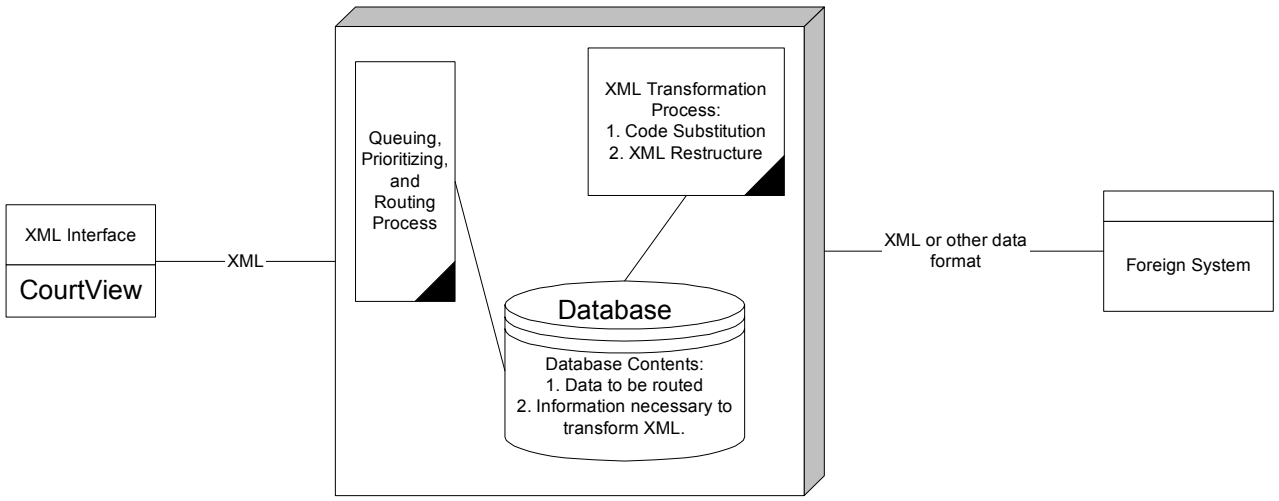


Exhibit 3-4: XML Data Processing Flow Chart, **explains the information flow process.**

3.2 VALUE ADDED OPTIONS

Upon reading the PNCO, we believe there are two additional products that have the effect of adding additional value to the project but are not part of the traditional CourtView product. These products are TrakMan and VisiFlow. MAXIMUS Justice Solutions has worked with both of these companies and have incorporated their products in many of our client installations. TrakMan is a comprehensive evidence tracking package that expands the current CourtView functionality. VisiFlow is a document and workflow management system provider. These products are discussed at length in TrakMan and Vista Solutions Group/VisiFlow.

3.2.1 TRAKMAN

TRAKMAN IS A COMPREHENSIVE RECORDS MANAGEMENT SYSTEM.

TrakMan is a comprehensive Records Management system that is ideal for any storage environment. Using powerful classification, tracking, and reporting components, TrakMan is unsurpassed in providing access to your vital record resources

For a Clerk of Courts environment, TrakMan is specially designed for case tracking and evidence management. Other storage environments can also take advantage of TrakMan's hierarchical model for superior performance and ease of use.

TrakMan's benefits and features include:

- FedEx® like tracking of records through every step of processing,
- integrated OLE/DCOM support for document image and electronic filing data types;
- unlimited types of items and storage containers;
- graphical tree representation of storage configuration;
- drag-and-drop movement of items with content validation;
- partial container and space analysis tool;
- rapid check in / check out from / to multiple recipients;
- online requests for hardcopy, fax, or image delivery;
- unlimited history of all item activities;
- system-wide bar-coding and scanner integration;
- reservation and queuing of requests for previously checked out items;
- unlimited item retention periods and ascension levels;
- advanced support for volumes, summary records, and sealed records;
- transaction and storage billing with graphical analysis tools;
- random auditing with historical analysis of audits;

- enterprise-strength relational database technology;
- security implemented by database, application functionality, and requested actions on record types;
- custom reporting via industry standard tools; and
- Windows GUI.

3.2.2 VISTA SOLUTIONS GROUP/VISIFLOW

Vista Solutions Group (VistaSG) is a leading provider of system integration, consulting, and implementation services for document management, imaging and workflow solutions. Their solutions and expertise carry across a large marketplace including local government, insurance and financial services and commercial business. Their services include:

- paper and electronic document creation and management;
- internet-based document search and retrieval systems;
- back-office systems for processing data captured in web-based "e forms";
- software workflow systems; and
- back file conversions of paper and electronic files.

VISIFLOW IS AN OBJECT-ORIENTED VISUAL WORKFLOW APPLICATION FOR ENTERPRISE-WIDE DOCUMENT AND WORKFLOW MANAGEMENT.

VistaSG provides integration of the VisiFLOW (Exigen Group) imaging and workflow application in high-volume production environments. VisiFLOW is an object-oriented visual workflow application for enterprise-wide document and workflow management. Utilizing technologies such as Optical Character Recognition (OCR), Full Text Search of imaged documents, Computer Output to Laser Disk (COLD), barcode recognition, and Internet/Intranet tools VistaSG can provide practical solutions to automating the paper intensive processes performed every day.

Their projects include:

- policy processing and underwriting for a large insurance company;
- case investigation management and tracking for a large metro police department;
- imaging and workflow enabling of criminal and civil case files for a county court management system;
- accident reports on-line for a large metro police department;
- county commission minutes – published to a website w/full text search; and
- employee benefit files for a state-sponsored retirement system.

The document management market is in the midst of a transformation from a traditional paper-based environment to an electronic medium, including digital and Internet-based documents. As a result of this evolution to new technology-based solutions, the market has, and will, grow rapidly.

Vista SG is currently providing these document management services to several accounts, concentrating on two vertical markets – **local government** and the **insurance market**. Vista SG further segments these vertical markets into tight niches in which its experience allows for it to excel in the marketplace. For example, the Vista SG focused efforts in local government offices – creating custom imaging and workflow systems for courts and law enforcement agencies. According to International Data Corp. (IDC), these two markets are the largest users of document management services, with each market expected to spend over $5 billion this year on document technologies and related services.

3.3 IMPLEMENTATION

MAXIMUS UNDERSTANDS THE IMPORTANCE OF QUALIFIED EXPERTISE IN PROJECT IMPLEMENTATION.

The Division of State Court Administration of the Indiana Supreme Court is interested in an experienced firm to provide a case management system to over 300 trial courts in the State of Indiana. The successful provider must be able to successfully implement and support an industry proved case management system on time and within budgetary constraints. MAXIMUS understands the importance of qualified expertise in project implementation. In a large project, such as this, you need a company that has a history of achievement in project management, end user training, data conversion, and excellent post implementation support and maintenance. MAXIMUS is proud of our reputation in systems implementation and support. MAXIMUS Justice Solutions has successfully completed every assigned project. We have never failed a CourtView implementation or any other project we have been asked to complete. Our discussion of the implementation process includes a project timeline, training, data conversion, support and maintenance, and product customizations and enhancements.

The proposed project is large and requires significant planning for a successful installation of the CMS and Data Warehouse across all 300 trial courts. Our experience suggests a regional approach is best for this size of project. We have split the state into three similar regions based on size and number of courts in each area. Marion and Allen counties have large and complex court systems and will have implementations separate

from the regional approach. The regions and the counties included are as follows.

Northern Region: Adams, Benton, Cass, DeKalb, Elkhart, Fulton, Grant, Huntington, Jasper, Kosciusko, La Porte, Lagrange, Marshall, Miami, Newton, Noble, Porter, Pulaski, St. Joseph, Starke, Steuben, Wabash, Wells, White, and Whitley.

Central Region: Blackford, Carrol, Clay, Clinton, Delaware, Fayette, Fountain, Hamilton, Hancock, Hendricks, Henry, Howard, Jay, Johnson, Madison, Montgomery, Morgan, Owen, Parke, Putnam, Randolph, Rush, Shelby, Tipton, Union, Vermillion, Vigo, Warren, Wayne.

Southern Region: Bartholomew, Brown, Clark, Crawford, Daviess, Dearborn, Decatur, Dubois, Floyd, Franklin, Gibson, Greene, Harrison, Jackson, Jefferson, Jennings, Knox, Lawrence, Martin, Monroe, Ohio, Orange, Perry, Pike, Posey, Ripley, Scott, Spencer, Sullivan, Switzerland, Warrick, Washington.

3.3.1 PROJECT TIMELINE

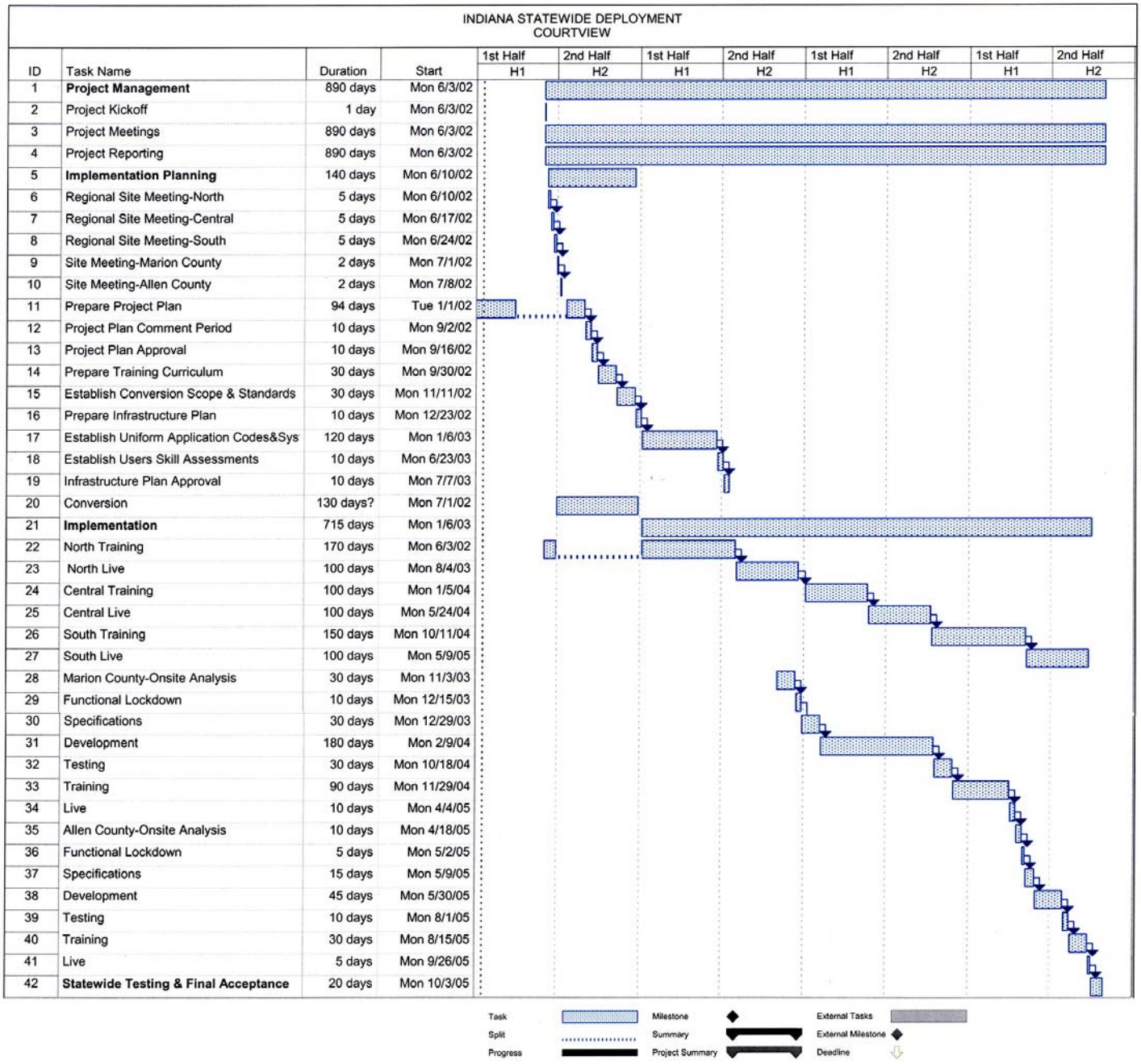
The Division has requested the installation, customization, and implementation of a CMS. To accomplish this task, the successful vendor must have a proven and lengthy track record in integrated court systems implementation, project management, and system development life cycle methodologies.

MAXIMUS has developed a phased approach to the design, development, and implementation of your CMS. Our business and technical solution is strengthened by our project management skills and the use of our system development life cycle methodologies. MAXIMUS currently has over 3,000 active projects, each of which uses the same project management techniques and methodology, which we will use for your project. We understand criminal justice practices, we have successfully deployed integrated criminal justice systems, and we have successfully managed multi-million dollar projects using our project management methodology. You can be assured that MAXIMUS can successfully deliver your project.

Our project management methodology is based on timely delivery of a quality solution for our clients. It is a proven and successful approach that has been used effectively in project environments similar to the Statewide Judicial Case Management Software system project.

3.3.1.1 PROJECT MANAGEMENT PLAN,

Upon award, we are prepared to develop, implement, and maintain a project-specific detailed Project Management Plan. *Exhibit 3-5: Gantt Chart*, displays the basis for our Project Management Plan. The Gantt Chart lists the duration of tasks, all milestones associated with our deliverables, the responsible member for each task, start and end dates for each task, and the relationship and dependencies of tasks. MAXIMUS understands that our plan is subject to the approval of the Court Project Manager. We are prepared to meet on a regular basis with the Court Project Manager to discuss our "Weekly Progress Reports", including critical path, progress to date, budget status, issues, and management of risks.



ID	Task Name	Duration	Start
1	**Project Management**	890 days	Mon 6/3/02
2	Project Kickoff	1 day	Mon 6/3/02
3	Project Meetings	890 days	Mon 6/3/02
4	Project Reporting	890 days	Mon 6/3/02
5	**Implementation Planning**	140 days	Mon 6/10/02
6	Regional Site Meeting-North	5 days	Mon 6/10/02
7	Regional Site Meeting-Central	5 days	Mon 6/17/02
8	Regional Site Meeting-South	5 days	Mon 6/24/02
9	Site Meeting-Marion County	2 days	Mon 7/1/02
10	Site Meeting-Allen County	2 days	Mon 7/8/02
11	Prepare Project Plan	94 days	Tue 1/1/02
12	Project Plan Comment Period	10 days	Mon 9/2/02
13	Project Plan Approval	10 days	Mon 9/16/02
14	Prepare Training Curriculum	30 days	Mon 9/30/02
15	Establish Conversion Scope & Standards	30 days	Mon 11/11/02
16	Prepare Infrastructure Plan	10 days	Mon 12/23/02
17	Establish Uniform Application Codes&Sys	120 days	Mon 1/6/03
18	Establish Users Skill Assessments	10 days	Mon 6/23/03
19	Infrastructure Plan Approval	10 days	Mon 7/7/03
20	Conversion	130 days?	Mon 7/1/02
21	**Implementation**	715 days	Mon 1/6/03
22	North Training	170 days	Mon 6/3/02
23	North Live	100 days	Mon 8/4/03
24	Central Training	100 days	Mon 1/5/04
25	Central Live	100 days	Mon 5/24/04
26	South Training	150 days	Mon 10/11/04
27	South Live	100 days	Mon 5/9/05
28	Marion County-Onsite Analysis	30 days	Mon 11/3/03
29	Functional Lockdown	10 days	Mon 12/15/03
30	Specifications	30 days	Mon 12/29/03
31	Development	180 days	Mon 2/9/04
32	Testing	30 days	Mon 10/18/04
33	Training	90 days	Mon 11/29/04
34	Live	10 days	Mon 4/4/05
35	Allen County-Onsite Analysis	10 days	Mon 4/18/05
36	Functional Lockdown	5 days	Mon 5/2/05
37	Specifications	15 days	Mon 5/9/05
38	Development	45 days	Mon 5/30/05
39	Testing	10 days	Mon 8/1/05
40	Training	30 days	Mon 8/15/05
41	Live	5 days	Mon 9/26/05
42	**Statewide Testing & Final Acceptance**	20 days	Mon 10/3/05

Exhibit 3-5: Gantt Chart displays the basis for our Project Management Plan.

3.3.1.2 PROJECT MANAGEMENT

THE PROJECT MANAGER REVIEWS AND IS RESPONSIBLE FOR, AND ENFORCES THE PROJECT PLAN, MILESTONES AND DELIVERABLES.

The MAXIMUS Project Manager must review and enforce the overall project plan, milestones, and deliverables. The Project Manager is responsible for the organization of your staff into effective partners in the design and implementation of the software application. Ongoing responsibility includes the determination and allocation of staff to complete each milestone, project documentation and communication, and change management.

3.3.1.3 IMPLEMENTATION PLANNING

MAXIMUS understands a project of this magnitude requires a significant amount of planning. In the implementation planning phase, we work with the Division, Trial Courts, and other vendors to specifically plan the rollout phase of the project. Our proposed project plan is for a phased rollout based on geographical regions with Marion and Allen counties considered separate installations due to their size and complexity.

Data conversion, training preparation, and analysis also begin in the implementation planning phase. In data conversion, our conversion team will work with the Division and the courts to determine how much data needs to be converted and the complexity of the conversions and systems involved. Training preparation includes creating class schedules, preparing procedure manuals, user documentation, and finalizing training materials.

A critical part of the implementation planning phase is the creation and final approval of statewide codes. We will work with the Division to create the standards that are used in all courts statewide. The approval of the implementation rollout plan will conclude this phase of the project.

3.3.1.4 IMPLEMENTATION

THE CMS ROLLOUT INCLUDES ALL TRIAL COURTS IN INDIANA. THE IMPLEMENTATION DIVIDES INDIANA INTO THREE REGIONS WITH MARION AND ALLEN COUNTIES AS THEIR OWN PROJECTS.

As previously stated, the rollout occurs across three regions in Indiana. We have specified the Northern region to be first in the CMS installation project. For each region, training is conducted first followed by a systematic rollout where each court goes "live" on CourtView and receives post live support. Immediately following the Northern Region is the Central then Southern regions. Toward the completion of the Northern rollout, the Marion County implementation will begin. Unlike the

smaller courts across Indiana, we are confidant that both Marion and Allen Counties will require system modifications to support their courts. We have allotted time for analysis, specification, and development in the Marion and Allen county projects to account for their customization needs.

The CMS project concludes with statewide testing and acceptance. During this phase, MAXIMUS and the Division finalize all outstanding issues regarding the project and transitions to support. The Division engages in previously defined acceptance tests and we obtain final approval on the entire CMS project. After acceptance, the Division and all trial courts use our help desk for ongoing support.

3.3.2 TRAINING

MAXIMUS HAS SUCCESSFULLY TRAINED THOUSANDS OF USERS THROUGHOUT THE UNITED STATES.

Training is one of the most important phases of the implementation process. At the conclusion of a custom-designed MAXIMUS training session a user is prepared to apply our software applications with ® confidence, ease, and efficiency. We will show your trainers how to do this. To date, MAXIMUS has successfully trained thousands of users throughout the United States. Our success is a direct result of our training staff, our training methods, and the design of our applications. Every member of our training team brings with them a combination of prior experience as educators, computer programmers, or technicians as well as government service in the courts, law enforcement, and jail systems. Their insight with your work environment provides a significant advantage in providing an efficient learning environment.

Our approach to training provides your staff with time to work, learn, and practice. Training schedules are set to ensure flexibility and minimize the inconvenience of workday training sessions. Limited class sizes and daily practice drills ensure that they are prepared to use the application in live operations. Training continues during the initial stages of live operations.

MAXIMUS provides CourtView training that is designed to quickly train you to become both knowledgeable and proficient in the use of CourtView®. *Exhibit 3-6 Sample of a CourtView Training Lesson Plan,* provides an overview of your Training Plan that would be conducted at each court of installation. Technical Support Personnel and Technical System Managers will receive instructions on preventative maintenance; troubleshooting the application; creating nightly and weekly backup tables of all data files; operational message interpretation and procedures; and general system operations. The basic objectives of training are as follows.

Course	Offices	Description
Code Set Up	All	CourtView is built from user defined tables. These classes are designed to start building the Code Tables for the Training classes, as well as serve as in introduction to "Super Users" on how to maintain the Code Tables.
CourtView introduction	All	In this class, you learn how to login to CourtView MAXIMUS will then start introducing you to the CourtView screens, Dynamic Buttons, as well as go over some general rules of class.
Indexes	All	You are taught how to look up information using the Indexes and the importance of how to ask for the information requested.
Case Initiation	All	CourtView has different initiation screens based on the different Case Types. Each office will learn how to initiate cases using the screens designed for their particular Case Types.
Case Copy	All	CourtView has the ability to copy pedigree case information from an existing case without re-keying the data.
Case Linking	All, except PRS	The ability to link multiple cases into a group.
Party Maintenance	All	You are taught how to enter information regarding the parties on the case, including identity information (SSN, DLN, DOB), Address, Phone, and Alias.
Alerts	All	The Alert functionality causes a pop up window to appear when you retrieve a case with an Alert attached. You are taught how to turn on and turn off an Alert.
Notes	All	You can enter a note on a case, which is stored separately from the docket. These notes have different security levels.
Docketing	All, except PRS	The docket is a major component of CourtView®. You are taught how to add entries to the docket, as well as learn all the functionality associated with the docket.
Imaging	All	With Imaging, a document can be scanned behind a Docket Code. You are taught how to scan a document, maintain the scanned image (Add, Delete, Replace) and view a scanned document at your workstation.
Ticklers	All	Ticklers serve as a reminder within the system. You will learn how to turn on and turn off a tickler. They also have the ability to tie Docketing and Forms functionality to these Ticklers.
Forms Generation (Create)	All	MAXIMUS will look for one or two Word experts (from each office), to set up the forms and insert tokens (fields that correspond to the database). These students will be expected to create the forms for their office.
Forms Generation (Use)	All	Once Forms have been created, all students are taught how to generate the Forms for use in their daily work.
Manual Scheduling	P, CR, CV, J	Manual Scheduling allows you to schedule a hearing (event) for a Judge on a particular day.

Course	Offices	Description
Block Scheduling	P, CR, CV, J	Block Scheduling provides the ability to "block" a period of time on the Judge's calendar to schedule multiple events for the same date and time.
Case Receipting	P, CR, CS, CV, AP, J	CourtView handles all money by way of Docket Entry. You are taught how to receipt monies on a case.
Accounts Receivable	CR	You learn how to set up an Accounts Receivable record and assess the outstanding costs to a party on the case. Once the AR record is established, you learn how to set up a payment plan, print a bill and issues Past Due Notices.
Bookkeeping	All, except PRS	MAXIMUS will give the bookkeepers a brief overview of how the codes are set up that will affect their Cashbook. They will then learn how to close and balance their books for the End of the Day and End of the Month, as well as how to print checks and reconcile them to the bank.
Case Disposition	All	The disposition of a case is important for the County Reporting requirements.
Sentencing	CR, AP	On Criminal Cases, you learn how to enter a plea and disposition on the charge(s) and how to fill out the Sentencing Screen.
Prosecutor	PRS, CS	The Prosecutor Module contains functionality specific to the Prosecutor, including Post Approval and Post Conviction Events, Diversion, Victim Rights Information, and Appeals.
Probation	AP	The Probation Module has functionality specific for the Probation Department, including Defendant and Victim PSI Information, Log Notes, and Conditions.
Reports	All	Each module in CourtView has a Report Menu with choices to retrieve data from the system. Each report has a parameter screen that allows you to define the data requested.
Judge Training	All	Judges are generally trained on how to look up information in the system, including cases, the docket, images and their calendar. They are also shown how to add notes to a case. Some Judges who are more "hands on" can be shown additional functionality if requested ahead of time.
Review	All	You are encouraged to bring actual cases to class and try to reproduce them in CourtView®. This allows you to put the pieces of the training together as well as see how your work will be done in CourtView®.
System	Super Users	Once an office as gone live, and you become comfortable with CourtView®, MAXIMUS will train "Super Users" how to maintain the Code Tables, set up User Security and update the system with new functionality. MAXIMUS will also review various miscellaneous functionality, including Case Number Change, Identity Consolidation, and End of Year procedures.

Exhibit 3-6: Sample of A CourtView Training Lesson Plan provides am overview of a sample lesson plan.

- **Achieve Basic Computer Skills:** Develop all basic computer skills necessary to operate effectively in an automated court management environment. These skills include, but are not limited to, basic computer terminology, and basic functions such as eliminating concerns related to automation, familiarity with security features, logging on and off the computer, code set up, and using menus.

- **Attain Specialized Competency For Selected Modules:** Develop competencies in essential functions that different types of users will need.

- **Build Confidence:** Gain confidence in using more advanced features.

- **Master Report Generation:** Master both standardized and customized report generation functions. Each of these objectives represents clusters of skills and competencies that will be achieved in a sequential training program. These objectives represent the base of our training module related to each of your functions. As noted above, our core curriculum will be modified based on our on-site review of your operations. The curriculum will be developed and presented to you for approval.

3.3.2.1 DOCUMENTATION

The CourtView User Documentation features a manual in electronic format on CD that will be delivered to the Division and at each point of installation. The User Documentation is provided for each unique module. The product documentation includes: Accounts Receivable, Case Management, Code Tables, Financial Management, Forms Generation, Judicial Management, Juvenile Detention Center, and System Administration.

The documentation is designed as a visual instructional tool as well as a reference guide. Sample screens are included with the procedures to help the user follow along with the screens they are working on from start-to-finish of a particular function. Each manual has an Index for easy reference and a Table of Figures for locating examples of screens.

This visual approach is particularly beneficial during training. The screens, combined with the instructions, help new users become acquainted with the CourtView system by viewing the graphics with the

instructions. In addition, the user can easily look back to locate a missed step because each function is explained from the beginning to end.

The procedures are explained in a simple, numerical format (1, 2, 3, 4, etc.)

For example:

1. Click on **Case Initiation** on the menu bar.

2. The *Case Selection Screen* displays.

3. Type a **case number** in the Case Number Field.

4. Click the **Search** button.

The manual conventions, as shown above and reviewed in the introductory section of each manual, include **bold** face, *italic,* and Capital Letters. Data that must be entered, selected, or shown by a keystroke is in bold face; screen names, sub-menus, and informational messages appear in italics; and field names and button keys are shown with an Initial Capital Letter.

Besides the manuals, the CourtView documentation is provided online with the application. Users access the help facility by clicking on Help on the menu bar. The help files are separated by module for quicker access to assistance.

For example, if the user is working on a function in Case Management and needs assistance, they click on Help and then select Case Management from the list of module selections. The Case Help files display with a list, similar to a Table of Contents in a book.

The online Help files also feature sample screens and easy to follow (1, 2, 3) procedures.

OUR CLIENTS ARE INFORMED OF UPDATES IN RELEASE NOTES PROVIDED BY MAXIMUS

3.3.2.2 UPDATES:

There are several guidelines followed for updating the CourtView User Documentation. The Quality Assurance team, of which the technical documentation specialist is a member, is constantly reviewing the latest release notes.

The technical writer takes this list and writes the updates for both the printed manuals and online Help facilities. The information is then edited and checked again by the QA team.

After the final edits are completed, the online Help files are recompiled with the new procedures. Clients are informed of the updates in the Release Notes.

3.3.2.3 MODIFICATIONS:

Great effort is taken to ensure the CourtView User Documentation includes the modifications for all clients. However, there are circumstances where a function is unique to a particular client and may not be used by other clients. In this situation, an Addendum is designed to include the function(s) not in the other documentation.

The addendum is to be used along with the CourtView manuals. Therefore, the format of the addendum is the same as the manuals: Introduction, Table of Contents, Index, etc. Each modification is explained in a step-by-step procedure along with sample screens.

3.3.3 CONVERSION METHODOLOGY

THE DIVERSITY OF OUR EXPERIENCES IN SUCCESSFULLY COMPLETING CONVERSIONS PROVIDES MAXIMUS STAFF WITH A HIGH LEVEL OF COMPETENCE.

MAXIMUS has successfully performed both small and large-scale data conversion efforts for many of our clients. We understand that the CMS Team will be responsible for the conversion of data from the legacy CMS. The conversions we have performed have included multiple court types and various systems. The diversity of our experiences in successfully completing conversions provides MAXIMUS staff with a high level of competence.

As the vendor, the MAXIMUS Data Conversion Team will provide guidance and instruction to the CMS Team on how to convert the existing data into the CourtView application. Through our conversion experience, we developed a model and worksheet template that will support the CMS Team in the mapping and scripting phases of the data conversion. The process by which conversion is completed follows a six-phase procedure. These procedures are explained in depth in *Appendix E.* A brief description of the methodology follows:

- **Phase One - Conversion Strategy:** The conversion strategy identifies key success factors, establishes a timeline, and allocates resources for the conversion procedures.

- **Phase Two – Data Mapping/Business Rules:** The CMS Conversion Team receives the worksheet template for the placement of existing data. Additionally, the CMS Conversion Team begins the process of data cleansing. The business rules are analyzed and determined with both our conversion team and the CMS Conversion Team. The final step is a formal acceptance of the data map and the business rules.

- **Phase Three – Script Development:** Initial data conversion scripts are generated. Once the scripts are approved, a mock conversion run is performed either at MAXIMUS or in Indiana.

- **Phase Four – Training Run:** Scripts are continually tried and tested. After each test run, the CMS Conversion Team meets with our conversion team, analyzes any failures, and prepares for the next test run. The final step is a formal acceptance of the training run.

- **Phase Five – Production Run:** The production run is the formal data conversion. The current system goes down, conversion scripts are run, and the newly converted data in CourtView is rigorously

tested for errors. There is a formal acceptance of the production data conversion prior to the system live date.

- **Phase Six – Stabilization:** The stabilization phase is the ongoing analysis of the converted data into CourtView®. There is performance tuning and general clean up of the data.

3.3.3.1 CONVERSION EXPERIENCE

MAXIMUS has successfully performed both small and large-scale data conversion efforts for many of our clients. The conversions we have performed have been for both court and jail clients. The diversity of our experiences in successfully completing conversions provides MAXIMUS staff with a high level of competence. You can expect a data conversion initiative that will be completed correctly and on schedule.

MAXIMUS provides the following examples of conversions that we have completed for our current clients. Please refer to *Exhibit 3-7: Number of Cases, Parties, and Dockets Converted,* for these conversions.

Franklin County, Ohio

Division	Cases	Parties	Dockets
Civil	376,839	949,694	2,000,000
Criminal/Traffic	1,312,578	2,762,885	5,202,648
Adult Probation	100,000	100,000	100,000
Rent	2,000	2,000	2,000
Trust	1,000	1,000	2,000

Escambia County, Florida

Division	Cases	Parties	Dockets
Traffic	375,000	375,000	4,000,000
Marriage License	3,500	10,000	11,000

Lake County, Indiana

Division	Cases	Parties	Dockets
Criminal/Traffic	420,000	420,000	581,041
Common Pleas	205,273	1,078,576	1,545,126
Garnishments	10,000	10,000	10,000

Probation	8,000	8,000	8,000

Exhibit 3-7: Number of Cases, Parties, and Dockets Converted illustrates the size and magnitude of each of these conversions.

3.4 SUPPORT AND MAINTENANCE

The software maintenance and support services provided by the MAXIMUS Justice Solutions Division assures that you will receive a high level of professional support services required to successfully support CourtView. Specifically, you can be confident that we can provide the ongoing support necessary for a successful post-installation relationship. With over 6,000 users, the MAXIMUS Justice Solutions Division has developed over time an effective and responsible way to support our customers.

3.4.1 CUSTOMER SERVICES PRACTICES

The function of the MAXIMUS Justice Solutions Customer Support Department is to satisfy your issues and challenges. The Help Desk is the means of communication between you and us regarding all software issues that go beyond the day to day end user support that you will provide. The MAXIMUS Help Desk provides the most efficient means to track, manage, and resolve all software issues. The following information details different procedures and guidelines that are used to provide the best service to you.

- MAXIMUS Customer Service Practices,
- Customer Service Plan, and
- Call Center Assistance.

3.4.2 MAXIMUS CUSTOMER SERVICE PRACTICES

OUR COMMITMENT TO CUSTOMER SERVICE CONTINUES LONG AFTER IMPLEMENTATION IS OVER.

The MAXIMUS Justice Solutions Division is dedicated to ensuring that you achieve full value from your system. In order to do this, we have developed capabilities and systems designed to ensure that all our customers are fully supported. The components of our support system include a Help Desk, a rigorous quality assurance program that ensures the product and services meet the highest quality standards, and training and assistance programs which are designed to answer all your questions and keep you successfully using the system.

Our commitment to customer service continues long after implementation is over. As a part of ongoing support services, trained technicians are available Monday through Friday from 8:00 AM to 9:00 PM EST over the telephone or through e-mail to assist you with our software applications. This can be extended to emergencies, holidays, extended hours, or full

7X24 coverage if you desire. Our goal is to have you called back and begin working the call within two hours from the time a call is logged. On average, calls are returned within one hour. If you desire a status on any call, you can contact the Help Desk and ask for a status report.

Our support staff is composed of a diverse group of people with backgrounds in application training, system support, database support, and application development. With a staff of over 100 professionals supporting our justice solutions software, we have a range of talent and expertise. Support expertise is typically derived from front line experience. For example, a support staff member spends time in the field as a trainer for the full implementation of a project before becoming a member of the support staff. This process of gaining front line experience gives each support staff member a strong foundation for supporting your needs.

Our support staff is knowledgeable in all functional areas of the product lines. In addition, our staff is qualified to provide answers to issues in the following technical areas:

- RDBMS administration and optimization;
- database systems management;
- system backup and restore procedures;
- hardware problem diagnosis and resolution;
- word processing issues for Word and WordPerfect products;
- Lotus and Excel spreadsheet issues;
- Crystal Report implementations with application data model; and
- Windows 95, 98, NT, & 2000 host and client specific issues.

Our customers can come to us with any problem related to their installation. The customer support staff is located in Canton, Ohio.

3.4.3 CUSTOMER SERVICE PLAN

CUSTOMERS WITH AN ACTIVE SUPPORT AGREEMENT RECEIVE UNLIMITED ACCESS TO OUR HELP DESK STAFF.

The proposed customer service plan for the Division includes our key customer support features. With the support agreement, you will receive unlimited access to our Help Desk staff along with remote dial-in capability to provide you with the most efficient and effective support services available. The Help Desk is accessible through a toll-free number and is the single point of contact for immediate response to application software issues. In addition to problem resolution, our staff provides advice about the operations of the application to you.

Every call is entered into our call tracking system. *Appendix F* of this proposal provides extensive details on the tracking system screens and the ability to search for issues entered into the system. An initial priority status is assigned to the call and an appropriate team member is assigned to manage the call to resolution. Monthly reports are issued which track the progress and resolution of all reported items.

Escalation levels are described in more detail below. The expected response times by escalation level are as follows:

Tier 1 - Routine Issues: These issues are addressed immediately if possible but normally within two hours.

Tier 2 - Escalated Issues: These issues have achieved an escalated priority and are addressed immediately.

Tier 3 - Software Bug Issues: When an issue involves a "perceived" software bug, the client is called back within two hours and notified that further research is being done. The support staff will be in continual communications as developments emerge from testing. If a bug is found, the development follows our standard procedures of software programming and testing.

As stated earlier, support staffs are available Monday through Friday from 8:00 AM to 9:00 PM EST to assist you with our software applications. Holiday, emergency, and extended hours of support service are available with prior arrangement by MAXIMUS and the Division.

The support plan includes CourtView and any third party software as it relates to the functionality of CourtView®. We do not offer support for databases and software. We do offer support for system administration, but not as part of the terms and conditions of our standard support agreement. Operations scripts and utility programs are supported only as they relate to the functionality of CourtView®.

3.4.4 CALL CENTER ASSISTANCE

WE ARE COMMITTED TO PROVIDING YOU WITH QUALITY CUSTOMER SERVICE.

The MAXIMUS Justice Solutions Division is dedicated to ensuring that you achieve full value from your system. In order to do this, we have developed capabilities and call center systems designed to ensure you are fully supported. As shown in *Exhibit 3-8: Support Call Center Processing Flowchart*, we are committed to providing you quality customer service. Our discussion of our call center processes is organized as follows:

- Support Call Center Composition,

- Support Call Center Processing, and
- User Identification of Issue.

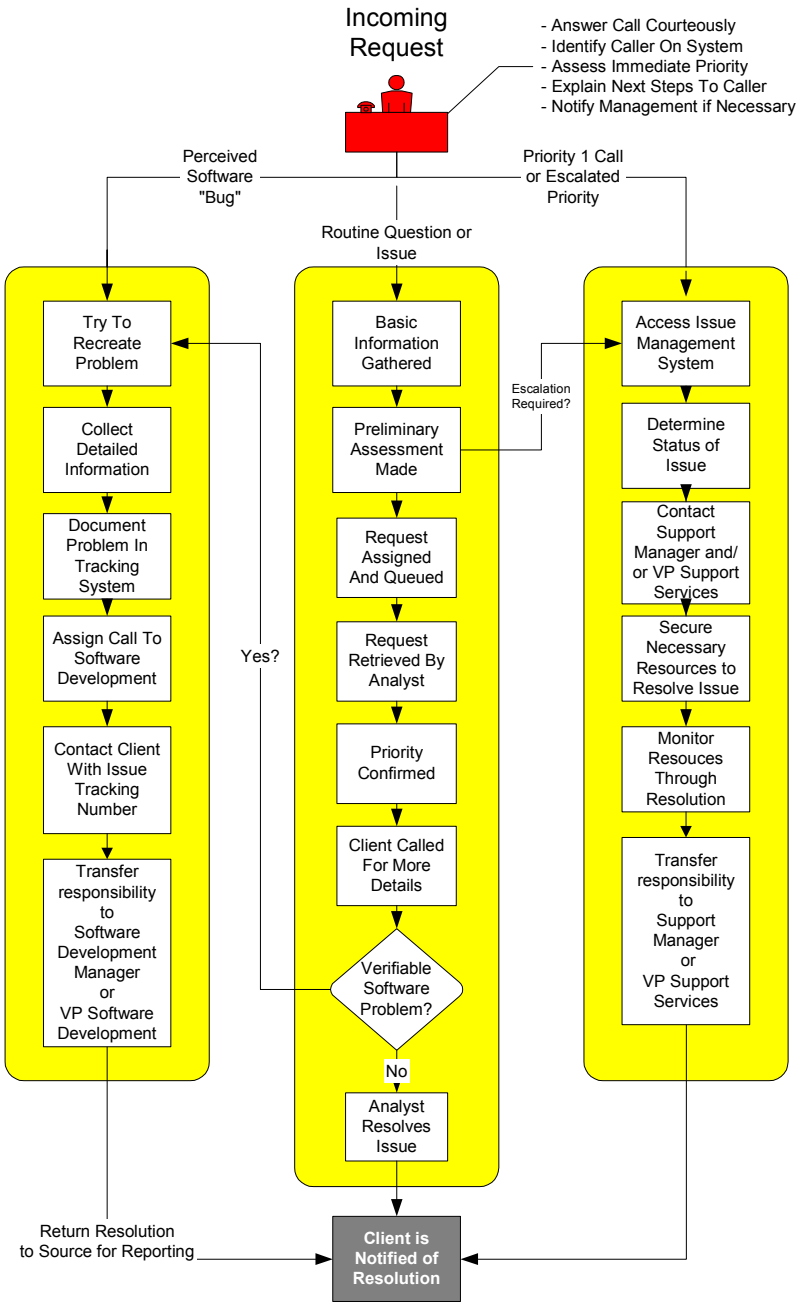


Exhibit 3-8 Support Call Center Processing Flow Chart illustrates a customer request being processed through the Help Desk.

3.4.5 SUPPORT CALL CENTER COMPOSITION

SUPPORT EXPERTISE IS TYPICALLY DERIVED FROM FRONT LINE EXPERIENCE.

The support staff is composed of a diverse group of people having backgrounds in application training, system support, database support, and application development. Support expertise is typically derived from front line experience. For example, a support staff member spends time in the field as a trainer for the full implementation of a project before becoming a member of the support staff. This process of gaining front line experience gives each support staff member a strong foundation for supporting your needs.

3.4.6 SUPPORT CALL CENTER PROCESSING

The mission of the support call center is to resolve all issues as quickly as possible. This mission drives a three-tier model for handling routine questions, escalated priority calls, and perceived software bugs.

3.4.7 USER IDENTIFICATION OF ISSUE

The effectiveness of the support center begins at the client level. At the client level, a point of contact is established. The point of contact within the Division is typically the person most familiar with the application usage within your environment. A focal client contact promotes two synergies. First, your point of contact becomes an expert at working with our support staff to resolve site issues. Secondly, our support staff gains knowledge from your point of contact about your site-specific procedures.

When an issue is identified, your point of contact makes a request to the support call center for assistance. This request typically originates in one of three ways:

- toll free call to the Help Desk 800 number,
- e-mail sent to the Help Desk, or
- fax sent to the Help Desk.

Tier 1 - Routine Questions or Issues

Tier 1 calls are routine questions or issues. When possible, these questions are answered immediately by our support desk operator. If the question cannot be answered immediately, basic call information is gathered and entered into the call tracking system:

- client, County, Department, and point of contact,
- version of the application,
- the program function and form name,
- the steps necessary to recreate the problem, and
- case examples and resulting errors.

A call number is assigned to the issue once our support desk operator obtains all of the needed information. You can use the call number to track the issue as it progresses through the support center. A call assessment occurs immediately to determine the priority of the call.

Tier 2 - Escalated Priority Issues

Tier 2 calls are escalated priorities. If call assessment results in the identification of a priority one issue, immediate attention is given to the issue. The call support center has dedicated representatives for resolving high priority issues. For priority one issues, you are contacted as soon as possible to determine the status of the issue and apply the known solution. If there is not a known solution to the issue, our customer support manager and/or the Vice President of Support Services secures the necessary resources to resolve the issue.

If there is a non-programming solution available, it is immediately applied. If a programming solution is required, the programming changes are immediately fast tracked through development, quality assurance, and deployment to resolve the issue. Once the solution is implemented, our customer support representative calls you to notify you of the resolution of the issue.

AT ANY POINT WITHIN THE RESOLUTION PROCESS, OUR CUSTOMER SUPPORT REPRESENTATIVE CAN FIND THE ISSUE AS PREVIOUSLY REPORTED WITHIN THE CALL TRACKING DATABASE AND APPLY THE SOLUTION.

Tier 3 - Perceived Software Bugs

Tier 3 calls are perceived software bugs. At the first possible opportunity, our customer support representative contacts your point of contact to notify you that we are working on the issue. Also, at this time, we gather the additional information needed to reproduce the problem. If necessary, our customer support representative will connect to the Division via the relative dial-up support method and recreate the issue utilizing your data.

At any point within the resolution process, our customer support representative can find the issue as previously reported within the call tracking database and apply the solution. Due to the strong application background of our customer support staff, a custom solution might also be implemented. If a solution is applied, the solution is entered into the

call tracking system for future reference. If the issue is verified as a software bug, the call moves to our development group. At this time, an issue is created in the issue-tracking database and an issue number is assigned. You can track the issue through development, quality assurance, and deployment.

After software bug fixes are deployed, you are notified that the fix has been implemented. General fixes will be reflected within the Release Notes.

The ultimate goal for our client support center is your approval. The support center pursues your approval by providing consistent and timely support services. MAXIMUS demonstrates its industry leading support services through the utilization of a strong support service model, knowledgeable support staff, and the utilization of all available technologies.

3.5 QUALIFICATIONS AND STAFFING

MAXIMUS IS KNOWLEDGEABLE IN ALL AREAS OF TECHNOLOGY RELATING TO GOVERNMENT, COURT, AND PUBLIC SAFETY FACILITIES.

MAXIMUS has a 25-year history of *"Helping Government Serve the People.®"* The Justice Solutions Division of MAXIMUS has a 15-year history of providing application software products to state and local justice agencies throughout the United States. The combined breadth of experience provides you with a vendor experienced and knowledgeable in all areas of technology relating to government, court, and public safety facilities.

3.5.1 QUALIFICATIONS AND REFERENCES

MAXIMUS has a proven record of providing, installing, and maintaining court case management solutions. The experience that the MAXIMUS Project Team provides our clients is indicative of the success you can be assured of by selecting us for your integrated justice project. Our experience demonstrates our ability to meet and exceed the elements necessary to successfully complete this project. MAXIMUS is dedicated to providing our clients with information technology solutions that best address their needs. Below, we provide detailed narrative project descriptions of similar project installations that demonstrate our ability to provide the required court case management system for you.

MAXIMUS submits references that demonstrate our experience in providing case management systems on a statewide basis, for large and small jurisdictions, and of projects of the same magnitude and complexity of the division Statewide Judicial Case Management Software System. Each reference specifies project title, name of court or agency, applications installed, implementation date, and contact information and narrative of project implementation. Our references include Case Management System reference, Advanced Technology references, Interface references, and our client list.

3.5.1.1 CASE MANAGEMENT SYSTEM REFERENCES

MAXIMUS has a diverse background in providing case management systems to large and small counties, in Indiana and other states. We have presented our experience by discussing our client implementations. The references are indicative of our ability to provide our clients with comprehensive case management systems in a variety of court environments. Additional required information follows.

- **State of Indiana**

- **Project Title:** Vanderburgh County, Indiana Case Management System
- **Court Name:** Vanderburgh County
- **Applications Installed:** Court Case Management Software for Courts, Prosecutor, and Probation
- **Implementation Date:** November 1998
- **Contact Information:**
  Ms. Marsha Abell, Clerk of Courts
  Civic Center Courts Building, Room 216
  Evansville, Indiana 47708
  Phone Number: (812) 435-5160/5162

❑ **Narrative Description of Project Implementation:**

MAXIMUS IMPLEMENTED AN INTEGRATED JUSTICE SYSTEM IN VANDERBURG COUNTY, INDIANA.

MAXIMUS implemented an integrated justice system in Vanderburgh County, Indiana, which includes all courts, prosecutor, and probation. The system operates in a Windows NT-Microsoft SQL server environment supporting 200 plus users. The system was implemented to meet the Y2K requirements and to meet AIMS compliance standards. This project was successfully installed and the County and MAXIMUS continue to work to advance the court by adding Web-Based Public Access.

❑ **State of Indiana**

- **Project Title:** Lake County, Indiana, Case Management System with Web-based Public Access
- **Court Name:** Lake County
- **Applications Installed:** Court Case Management Software for Courts, Prosecutor, Public Defender, and Probation
- **Implementation Date:** November 1999
  Contact Information:
  Mark Pearman, MIS Director
  2293 North Main Street
  Crown Point, Indiana 46307
  Phone: (219) 755-3649

❑ **Narrative Description of Project Implementation:**

Lake County, Indiana went live with CourtView in November of 1999. The implementation included the circuit and superior courts, probation, prosecutor, and public defender all sharing the same data in an integrated environment. The system operates in a Windows NT-Microsoft

SQL server environment supporting more than 500 users on the countywide network.

- **State of Indiana**

  - **Project Title:** Tippecanoe County, Indiana, Case Management System with Web-based Public Access
  - **Court Name:** Tippecanoe County
  - **Applications Installed:** Court Case Management Software for the Circuit and Superior Courts, Probation, and Web Public Access.
  - **Implementation Date:** November 1999
  - **Contact Information:**
    Dan Gentry, MIS Director
    20 North 3rd Street
    Lafayette, IN 47901
    Phone: (765) 423-9357

MAXIMUS AUTOMATED THE CIRCUIT AND SUPERIOR COURTS, PROBATION, PROSECUTOR AND PUBLIC DEFENDER OF LAKE COUNTY, INDIANA.

- **Narrative Description of Project Implementation:**

Tippecanoe County, Indiana went live with the CourtView Windows-based solution in November 1999. The applications implemented were CourtView for the Circuit and Superior Court, Adult Probation, and Web-based Public Access. The project was implemented in a three-phase approach. Phase 1 was to install the software solution before December 30, 1999. This phase included installing CourtView software, training 100 judges, clerks, and other staff, and conversion of the county's legacy database. Phase 2 included software 22 modifications to meet the Court's RFP requirements. Phase 3 included implementation of the Web-based Public Access module. All three phases were successfully completed. The project included training of the Clerk's staff in all aspects of CourtView as well as help in modifying their business practices, where necessary.

- **State of Ohio**

  - **Project Title:** City of Columbus Court Case Management System
  - **Court Name:** Franklin County Municipal Court
  - **Applications Installed:** Court Case Management Software for the Municipal Court and Web Based Public Access (Judicial, Case, Financial, Accounts Receivable, and Probation Modules)
  - **Implementation Date:** December 1997
  - **Contact Information:**
    Mr. Paul Herbert, Clerk of Courts
    365 S. High Street

Columbus, Ohio 43215
Phone Number: (614) 645-7657

- **Narrative Description of Project Implementation:**

The Franklin County Municipal Court is the largest court in the State of Ohio for case volume. All divisions were automated in this project by MAXIMUS, which includes criminal, civil, small claims, landlord tenant, guardianship, and traffic. It includes all modules of the Court Case Management System: Judicial, Case, Financial, Accounts Receivable, and the Probation Module with remote connection to numerous arresting agencies. The connection of all the remote users has been accomplished with the Web-based Public Access Module of CourtView®.

FRANKLIN COUNTY MUNICIPAL COURT IS THE LARGEST COURT IN THE STATE OF OHIO FOR CASE VOLUME.

Franklin County Municipal Court in Ohio went live with CourtView® on August 3, 1998 for Civil/Small Claims Case Management. This integrated solution provides the capability to share data between offices and eliminate redundant data entry. The project included the re-engineering of the workflow in the office to determine the necessary shifts in current personnel due to the introduction of the new technology. Several additional software modifications beyond the scope of the RFP have been added. The Criminal and Traffic Module went live in May 1999 and the Probation Module went live in December 1999. In September of 1999, the Web-Based Public Access Module was implemented.

The court has over 300 active users with over 1,000 county/city agencies and general public users accessing the system via the Internet using the Web-Based Public Access module. The Public Access Module is currently averaging between 1,000 to 2,000 hits per hour to their website. The Web-Based Public Access module has greatly reduced phone calls and traffic to Court offices as the information is available to agency staff, officers, attorneys, and the general public.

An interface to the Columbus Police system provides batch updating of warrant information. The court has an ongoing application software agreement that includes mandated legislative law changes and free enhancements to better the product. The system is operating on an HP 9000 using HP-UNIX in an NT environment; the RDBMS is Oracle; and there are about six million records in the database.

The Franklin County Project is one of the largest integrated installations of CourtView®. With this package Franklin County Court processes over 500,000 cases per year. Franklin County provides us with an understanding of high volume processing/accessing and sharing data with other agencies.

- **State of Florida**

  - **Project Title:** Manatee County, Florida Automation of the Clerk of Courts
  - **Court Name:** Clerk of Courts, Manatee County
  - **Applications Installed:** Court Case Management Software, JuryView, Web Based Public Access, and E-Filing
  - **Implementation Date:** March, 1999
  - Contact Information:
    Mr. Chips Shore, Clerk of Courts
    1115 W. Manatee Avenue
    Bradenton, Florida 34205
    Phone Number: (941) 749-1800
    Fax Number: (941) 741-4064

- **Narrative Description of Project Implementation:**

MAXIMUS PROVIDED COURTVIEW, JURYVIEW, WEB-BASED PUBLIC ACCESS, AND E-FILING FOR MANATEE COUNTY, FLORIDA.

MAXIMUS is in the process of replacing the entire Manatee County Case Management System. Work began in March of 1999 and continued through November of 2001. The divisions were brought live in the following order:

Traffic: The Manatee County Traffic Court was the first court in Florida brought live on CourtView®. The modifications made through the TCATS project were first implemented here with great success.

Civil: Manatee Civil Courts were brought live in stages in order to minimize the impact on the users. The first Civil Court, County Civil and Small Claims, went live on May 3, 1999. A full conversion of their legacy data was done. The next phase, Circuit Civil and Domestic Relations, went live on July 12, 1999. A full conversion of their legacy data was done. The Probate/Guardianship/Mental Health Departments were the last to go live in August 1999. A full conversion of their legacy data was done.

WEB: Manatee County began using the Web Based Public Access module in October 1999.

Criminal/Juvenile/Prosecutor/Probation: Manatee County currently has a CJIS system, which is shared by many organizations. MAXIMUS is replacing many of the components of that system. Because of the interdependency of these components, they must all come live at the same time. Probation, Criminal, Juvenile and Prosecutor segments were trained. A full

data conversion of Criminal, Juvenile, and Prosecutor was completed for a live date of April 30, 2001.

Jury: Manatee County will begin using JuryView™ to handle all of their jury needs soon. Their users have been trained and modifications have been requested and delivered. These modifications are currently being tested by the users.

- **State of Florida**

  - **Project Title:** FACC TCATS Project, Traffic Citation System for the State of Florida
  - **Court Name:** Florida Traffic Courts
  - **Applications Installed:** TCATS (Traffic Citation and Accounting System)
  - **Implementation Date:** March, 1999 to November, 2000
  - **Contact Information:**
    Ms Linda Proffitt, MIS Director
    1115 W. Manatee Avenue
    Bradenton, Florida 34205
    Phone Number: (941) 749-1800

  - **Narrative Description of Project Implementation:**

MAXIMUS IMPLEMENTED TRAFFIC CITATION PROCESSING (TCATS) FOR THE STATE OF FLORIDA.

Traffic citation processing for the State of Florida, in the Florida Traffic Courts, was developed by MAXIMUS under subcontract to Unisys Corporation as part of the Traffic Citation and Accounting System (TCATS) project. The TCATS project was funded by the Florida State Legislature and administered by the Florida Association of Clerks and Comptrollers (FACC). The specifications for traffic citation processing were established in a series of design meetings with representatives from several counties. After acceptance testing, traffic citation processing was successfully implemented in Manatee and Baker Counties as a beta test.

As part of the TCATS project, MAXIMUS issued a license to use CourtView for traffic citation processing to all the clerks in Florida as well as the FACC and the Department of Highway Safety and Motor Vehicles.

The FACC chose MAXIMUS to implement traffic citation processing after the successful beta test. Currently, nine clerk's offices are using CourtView for traffic in production and an additional 15 offices are in the phases of implementation. The solution features

case management, financial management, forms creation, and judicial management.

3.5.1.2 ADVANCED TECHNOLOGY REFERENCES

MAXIMUS IS ONE OF THE FEW VENDORS TO HAVE ALREADY IMPLEMENTED ELECTRONIC DOCUMENT FILING DIRECTLY INTO THE CASE MANAGEMENT SYSTEM.

Electronic filing is rapidly becoming the hot topic in virtually every court-related forum. It seems that every court is interested in implementing electronic filing. Attorneys throughout the country are supporting the concept of filing and retrieving documents and data without the burden and cost associated with physically going to the courthouse or paying a messenger**.** CourtView has a module that allows attorneys to directly interface with the CourtView product installed at the court and bypassing the court clerk's manual data entry/review process still required by other electronic filing systems on the market. This approach is more efficient and reduces court costs to process filing requests. Below, we provide Electronic Filing references.

Electronic Document Filing References

MAXIMUS IMPLEMENTED COURTVIEW WITH DOCUMENT IMAGING AND WEB-BASED PUBLIC ACCESS FOR THE CLERK OF COURTS OF BUTLER COUNTY, OHIO.

MAXIMUS is one of the few vendors to have already implemented electronic document filing directly into the case management system. We have provided the three references for electronic document filing. Our first reference, Butler County Clerk of Courts, was our first client implementation for electronic filing, and went live in May of 2001. The two additional electronic filing references we have provided are not yet live, but are scheduled to go live by early this year. Manatee County, Florida is scheduled for a live date of March 2002. Trumbull County Probate Court is scheduled for a live date of January 2002.

- **State of Ohio**

  - **Project Title:** Butler County E-Filing Implementation for the Clerk of Courts
  - **Court Name:** Butler County Clerk of Court
  - **Applications Installed:** E-Filing for the Clerk of Courts, CourtView Court Case Management Software, Document Imaging, and Web-Based Public Access
  - **Implementation Date:** May 2001
  - **Contact Information:**
    Cindy Carpenter, Clerk of Courts
    101 High Street
    Hamilton, Ohio 45011
    Phone Number: (573) 887-3282

- **Narrative Description of Project Implementation**

MAXIMUS implemented CourtView with Document Imaging and Web-Based Public Access for the Clerk of Courts of Butler County, Ohio. For over a decade, the people of Butler County have been able to rely upon the Clerk of Courts office for access to the computerized records of the Court of Common Pleas. The Clerk's office boasts a professional staff of dedicated and knowledgeable deputy clerks. The foundation of our computer system began in 1988, with Sabre systems and has developed into the current, graphical, and user-friendly CourtView.

The public has come to expect that government agencies provide citizens with the same level of services that private industry does. The latest improvements to CourtView are the upgrade to a Web-Based Public Access module. This integrated, free Internet access to the Clerk's computerized records also presents, for the first time, instant viewing of scanned images of vital records such as court orders.

CourtView Internet access also offers local and state systems connectivity that was previously unavailable. This model will support the virtual regional and metropolitan Internet-based networking models currently in the planning stage by Ohio's top criminal justice agencies. In addition, this foundation offers prospects for the future implementation of secured extranets, E-Filings, and public-private technology collaboration. The future holds many exciting possibilities for improvement in the way government provides service.

E-Filing Module: The Clerk began accepting electronically filed documents through CourtView. They will also be imaging any documents not received electronically in order to operate in a paperless environment. This functionality went live in May of 2001.

- **State of Florida**

  - **Project Title:** Manatee Co., Florida. E-Filing Implementation for the Clerk of Courts
  - **Court Name:** Clerk of Courts Manatee County
  - **Applications Installed:** CourtView E-Filing System CourtView Case Management Software: Civil, County and Small Claims courts (Phase I) Circuit Civil and Domestic Relations (Phase II) Probate/Guardianship/Mental Health Departments (Phase III)
  - **Implementation Date:** Implementation date is scheduled for September, 2001
  - **Contact Information:**
    Mr. Chips Shore, Clerk of Courts

1115 W. Manatee Avenue
Bradenton, Florida 34205
Phone Number: (941) 749-1800

- **Narrative Description of Project Implementation:**

MAXIMUS is in the process of replacing the entire Manatee County Case Management System. Work began in March 1999 and will continue until approximately November 2001.

MAXIMUS IS IMPLEMENTING E-FILING FOR MANATEE COUNTY, FLORIDA.

E-Filing Module: Following the Criminal/Juvenile/Prosecutor/Probation live date, the clerk will begin accepting electronically filed documents in the Criminal division through CourtView. They will also be imaging any documents not received electronically in order to operate in a paperless environment. It is anticipated that this functionality will go live in March, 2002.

- **State of Ohio**

  - **Project Title:** Trumbull County Courts E-Filing Implementation for the Courts
  - **Court Name:** Trumbull County Court
  - **Applications Installed:** CourtView E-Filing module
  - **Implementation Date:** The scheduled implementation date for the Trumbull County E-Filing system is in January of 2002.
  - **Contact Information:**
    John Shorts, System Administrator
    Trumbull County Courts
    161 High Street
    Warren, Ohio 44481
    Phone Number: (330) 675-2521
    Fax Number: (330) 675-2524

  - **Narrative Description of Project Implementation:**

The Trumbull County Probate Court maintains a staff of approximately 25, including three magistrates. The Honorable Thomas A. Swift is the only judge.

MAXIMUS SUCCESSFULLY IMPLEMENTED E-FILING IN TRUMBULL COUNTY, OHIO.

CourtView was implemented to replace the existing mainframe legacy software that had been written and supported by the court. The software components included Case Management and a small amount of Financial Processing.

Our project included installation of CourtView (including hardware), 32 training days, data conversion from the legacy system, software licenses, user manuals, custom programming modifications, and ongoing support following implementation. The following were implemented case management, financial management, and judicial management.

The project deliverables consist of CourtView base software, hardware, data conversion, end-user training, on-site live support, and ongoing help desk support.

All components of CourtView were successfully implemented in the Trumbull County Probate Court.

E-Filing Module: Trumbull County has purchased the E-Filing module of CourtView. Implementation of the project is underway, with an anticipated live date of January 2002.

3.5.1.3 INTERFACE EXPERIENCE REFERENCES

MAXIMUS IS EXPERIENCED IN CREATING INTERFACES BETWEEN APPLICATIONS AND EXTERNAL SYSTEMS.

MAXIMUS Justice Solutions has several years of experience with creating interfaces between our applications and external systems. Some of these interfaces include the NCIC/State Message Switch, warrant systems, Social Security Administration, mug shot systems, and Bureau of Motor Vehicles departments. For the State of Indiana, we are currently engaged in the test phase of the electronic transfer of data to the Bureau of Motor Vehicles. The following references highlight our accomplishments in creating interfaces to other systems.

- **State of Ohio**

  - **Project Title:** Criminal Justice Coordinating Council, NORIS Migration Project
  - **Agency Name:** Criminal Justice Coordinating Council of Ohio
  - **Applications Installed:** Criminal Justice Information System for the Northwest Ohio Regional Information system (NORIS); CLIP, Inmate Records, LEADS, and Regional Identifier (RID), Computer Records System (CRS-Police Incidents), Cross Query, and WARRANT, Towing, and Civil)
  - **Implementation Date:** November, 1999
  - **Contact Information:**
    Mr. Patrick Wright, Director
    301 Collingwood Boulevard
    Toledo, Ohio 43602
    Phone Number: (419) 244-0763

MAXIMUS IMPLEMENTED AN INTEGRATED CRIMINAL JUSTICE INFORMATION SYSTEM FOR THE NORTHWEST OHIO REGIONAL

- **Narrative Description of Project Implementation**

  In 1998, MAXIMUS was awarded a contract by the Criminal Justice Coordinating Council in Ohio to implement an integrated Criminal Justice Information System for the Northwest Ohio Regional Information System (NORIS), an integrated system supporting 40 criminal justice agencies in northern Ohio. NORIS provides Records Management, NIBRS reporting, *Jail Management*, Warrants, and all Court applications to support the Toledo Police Department, Lucas County Sheriff, Toledo Municipal Court, Clerk's Division, Judge's Division, and other justice agencies.
  In 1999, MAXIMUS implemented CLIP; Inmate Records; LEADS; and Regional Identifier (RID). In 2000, MAXIMUS implemented Computer Records System (CRS-Police Incidents); Cross Query; Parking; and WARRANT. MAXIMUS implemented Towing and CLIP Civil in 2001. Approximately 2000 users have access to the system. Average direct continuous access is approximately 150 users, of which 50 are query only. The majority of the users access the data through an indirect Cross Query system that provides brief descriptions of incarcerations.

- **State of Ohio**

  - **Project Title:** JNET (Justice Network) Project
  - **Court Name:** Kent County Circuit Courts
  - **Applications Installed:** Integrated Case Management System (CourtView) linking the courts with related agencies
  - **Implementation Date:** July 2000 – January 2003 (Ongoing)
  - **Contact Information:**
    Mr. David Schut, MIS Director
    Kent County Information Technology Department
    300 Monroe Avenue NW
    Grand Rapids, MI 49503
    Phone: (616) 336-3056

  - **Narrative Description of Project Implementation:**

    MAXIMUS is implementing the JNET initiative, which provides for a fully integrated case management system linking Kent County's Circuit Courts with related agencies through a common database and multiple interfaces.

MAXIMUS IS IMPLEMENTING COURT IN THE KENT COUNTY, MICHIGAN CIRCUIT COURT, FAMILY COURT, AND PROBATE COURT.

Under this contract, MAXIMUS will implement CourtView in the Kent County Circuit Court, Family Court, and Probate Court. Adult Probation, Court Services, and the Prosecutor's office will also utilize CourtView.

Over 330 CourtView users will share data with related agencies throughout the County, as well as the State of Michigan. Planned interfaces include:

- **LEIN:** Law Enforcement Information Network,
- **SOS:** Secretary of State,
- **KCCF:** Kent County Correctional Facility,
- **SCAO:** Supreme Court Administrative Office,
- **JDC:** Juvenile Detention Center,
- **VINE:** Victims Information Network,
- **MSP:** Michigan State Police, and
- **OMNI:** Michigan Adult Probation.

In addition to CourtView, MAXIMUS will also provide implementation, training, and support services. It is anticipated that the county will expand the scope of the project to include MAXIMUS imaging and web-enabled public access applications.

- **State of Ohio**

  - **Project Title:** Automation of Probation and Pre-Trial Services (ADOM)
  - **Court Name:** Montgomery County Common Pleas Court
  - **Applications Installed:** CourtView Probation and Pre-Trial Services Interfaces to external systems.
  - **Implementation Date:** August 1999 – May 2000
  - **Contact Information:**
    Mr. James W. Drubert, Clerk of Courts
    Montgomery County Common Pleas Court
    41 North Perry Drive
    Dayton, Ohio 45422
    Phone: (937) 496-7603

  - **Narrative Description of Project Implementation:**
    The Probation and Pre-Trial Services modules of the CourtView application have two interfaces to external systems that provide additional information for processing Pre-Trial and Probation cases. These two interfaces where developed as part of the ADOM Probation Module Extension project for Montgomery County Probation.

The first interface is between the County Jail system and the Court View application. Jail arrest and release information is passed to the Court View application from the jail system. This data is matched to individual Probation and Pre-trial cases. The data is used identify individuals with active Probation cases that have been recorded in the Jail system so that appropriate supervisory and legal action can be taken.

The second interface is between the Substance Abuse/Drug testing system and the Court View application. Test results are passed to the Court application and then matched to both Pre-Trial and Probation cases. The data includes test summary information and detailed information of the individual substances for which testing is conducted. The data is made available in CourtView through a number of query screens as well as from the case summary screens. This allows for the tracking of testing results by individual or by case.

- **State of Ohio**

  - **Project Title:** Ohio Justice Information System Project
  - **Agency Name:** Justice Information System, Office of Criminal Justice Services
  - **Services Provided:** Design, Prototype, and Implementation of a web-based Information System
  - **Implementation Date:** October 2000 – March 2002
  - **Contact Information:**
    Mr. Jason M. Mather
    400 E. Town Street, Suite 300
    Columbus, Ohio 43215-4242
    Phone Number: (614) 728-5835

  - **Narrative Description of Project Implementation:**
    In September 2000, MAXIMUS was awarded a contract by the Office of Criminal Justice Services in Ohio to develop a design prototype and implementation plan for a web-based secure information system that allows for sharing criminal justice information by various criminal justice agencies across the state regardless of the systems used by the respective agency with data access control remaining in the hands of the individual agency.

    MAXIMUS services include: performing the systems and design analysis; programming and installation of the prototype; and project and organizational planning for the implementation plan.

- **State of Florida**

MAXIMUS PROVIDED AUTOMATION OF ALL CIVIL CASE PROCESSING FOR THE CLERK OF COURTS OF ALACHUA COUNTY, FLORIDA.

- **Project Title:** Alachua County, Florida Civil Court Automation
- **Court Name:** Alachua Clerk of Courts
- **Applications Installed:** Integration by file transfer with the County's General Ledger Application
- **Implementation Date:** January 1999 – March 2000
- **Contact Information:**
  Mr. Edward C. Stiles, Clerk of Courts
  Alachua County
  201 East University Avenue
  Gainesville, Florida 32601
  Phone: (352) 338-3283

- **Narrative Description of Project Implementation:**
  The project for automation of all Civil case processing for the Clerk of Courts in Alachua County included integration by file transfer with the County's General Ledger Application. The clerks issue receipts for fees and costs and issue checks for payment in the CourtView application throughout the day. At the end of the day, the cashier's supervisor closes the cashbook indicating that no further receipting will be done for that day. As part of that procedure a file is created automatically which contains the totals, by account, of the financial activity for that day. That information is then imported into the County's General Ledger application.

3.5.1.4 CLIENT LIST

OUR CLIENTS WILL TESTIFY TO OUR ABILITY TO ANALYZE, DESIGN, AND IMPLEMENT COMPLEX COURT SOLUTIONS IN A MYRIAD OF ENVIRONMENTS.

MAXIMUS is clearly well qualified to provide you with a comprehensive Statewide Judicial Case Management Software System. MAXIMUS is familiar with the challenges of case processing integration, and has successfully provided high quality case management systems to many clients throughout the United States.

Our clients will testify to our ability to analyze, design, and implement complex court solutions in a myriad of environments. MAXIMUS has implemented our court, public safety, jury, and recorders office software product throughout the United States. *Exhibit 3-9: Client List-,* displays the clients we have worked with.

The extensive list of clients shows that we not only can implement systems, but that more and more clients are coming to MAXIMUS to solve their justice automation problems. The list shows that MAXIMUS can assist the Division implement in 300 trial courts statewide.

As you can see from the exhibit, the MAXIMUS Justice Solutions Division has clients in several states including: Indiana, Michigan, Massachusetts, Florida, Ohio, California, Nevada, and New York. We provide services to various court types, such as, Common Pleas and General Division, Circuit Court, Superior Court, Probate, Traffic, Area and Specialty Courts. In addition to our court types, we offer integrated probation, prosecutor, public defender, public Web access, and E-Filing modules. A history of MAXIMUS client software implementations by state follows.

COMMON PLEAS/GENERAL DIVISION (CIVIL, CRIMINAL, DOMESTIC RELATIONS)		
Pulaski County, Arkansas	Lake County, Indiana(w)	Erie County, Ohio(w) *
Amador County, CA(w)	Tippecanoe County, Indiana(w)	Fairfield County, Ohio(w) *
Alachua County, Florida(w)	Vanderburgh County, Indiana(w)	Greene County, Ohio(w)
Baker County, Florida(w)	Ingham County, Michigan (w) *	Jefferson County, Ohio
Escambia County, Florida(w)	Kent County, Michigan (w)	Lake County, Ohio(w)
Hendry County, Florida(w)	Nevada AOC(w)	Licking County, Ohio
Lake County, Florida(w)	(31 Courts)	Logan County, Ohio
Leon County, Florida(w)	New York State Civil Court *	Mahoning County, Ohio
Levy County, Florida(w)	Allen County, Ohio*	Miami County, Ohio
Glades County, Florida(w)	Ashtabula County, Ohio	Montgomery County, Ohio(w) *
Manatee County, Florida(w)	Auglaize County, Ohio(w)	Morrow County, Ohio (W)
Okeechobee, Florida(w)	Belmont County, Ohio	Portage County, Ohio
Sarasota County, Florida (w) *	Butler County, Ohio(w) *	Putnam County, Ohio
Sumter County, Florida(w)	Champaign County, Ohio(w)	Richland County, Ohio (W) *
Boone County, Indiana(w)	Clermont County, Ohio(w)	Trumbull County, Ohio
	Columbiana County, Ohio(w)*	Tuscarawas County, Ohio(w) *
JUVENILE COURT		
Pulaski County, Arkansas	Allen County, Ohio	Lorain County, Ohio
Amador County, CA	Ashtabula County, Ohio	Mahoning County, Ohio
Escambia County, Florida(w)	Auglaize County, Ohio (W)	Medina County, Ohio(W)
Lake County, Florida(w)	Belmont County, Ohio	Morrow County, Ohio (W)
Leon County, Florida	Champaign County, Ohio(w)	Portage County, Ohio
Manatee County, Florida(w)	Clermont County, Ohio(w)	Richland County, Ohio (W) *
Sarasota County, Florida (w) *	Jefferson County, Ohio(w) *	Ross County, Ohio(w)
Boone County, Indiana(w)	Huron County, Ohio(w)	Shelby County, Ohio(w)
Vanderburgh County, Indiana(w)	Kent County, Michigan (w)	Trumbull County, Ohio
Ingham County, Michigan(w) *	Lake County, Ohio	Tuscarawas County, Ohio(w)
Nevada AOC(w)	Lawrence County, Ohio(w)	Washington County, Ohio(w)
(31 Courts)	Logan County, Ohio	Wood County, Ohio(w)

JUVENILE DETENTION CENTER		
Ingham County, Michigan(w) * Clermont County, Ohio(w) Jefferson County, Ohio(w)	Lake County, Ohio Lorain County, Ohio Mahoning County, Ohio	Portage County, Ohio Richland County, Ohio (W) * Trumbull County, Ohio
JURY MANAGEMENT		
Escambia County, Florida(w) Manatee County, Florida(w) Sarasota County, Florida (w) * Lake County, Indiana(w) Vanderburgh County, Indiana(w)	Ingham County, Michigan(w) Belmont County, Ohio (W) Butler County, Ohio (W) Columbiana, Ohio (W) East Liverpool, Ohio (W) Fairfield City, Ohio (W) Fairfield County, Ohio (W) Hancock County, Ohio (W)	Jefferson County, Ohio Mahoning County, Ohio (W) Portage County, Ohio (W) Rocky River, Ohio (W) Trumbull County, Ohio (W) Tuscarawas County, Ohio (w) Xenia, Ohio (W)

(j) - Juvenile Court Only(w) - Indicates Windows Application* - Integrated Document Imaging Site

PROBATE COURT		
Pulaski County, Arkansas	Tippecanoe County, Indiana(w)	Jefferson County, Ohio(w) *
Amador County, CA	Vanderburgh County, Indiana(w)	Lawrence County, Ohio(w)
Alachua County, Florida(w)	Worcester County, MA*	Logan County, Ohio
Baker County, Florida(w)	Ingham County, Michigan(w)	Lorain County, Ohio(w) (j)
Escambia County, Florida(w)	Kent County, Michigan (w)	Lucas County, Ohio(w)
Glades County, Florida(w)	Monroe County, New York*	Mahoning County, Ohio(w)
Lake County, Florida(w)	Rensselaer County, New York*	Medina County, Ohio(W)
Levy County, Florida(w)	Allen County, Ohio	Morrow County, Ohio (W)
Leon County, Florida	Ashtabula County, Ohio	Portage County, Ohio
Manatee County, Florida(w)	Auglaize County, Ohio (W)	Ross County, Ohio(w)
Hendry County, Florida(w)	Belmont County, Ohio	Shelby County, Ohio(w)
Okeechobee, Florida(w)	Champaign County, Ohio(w)	Summit County, Ohio(w)
Sarasota County, Florida (w) *	Clermont County, Ohio (w)	Trumbull County, Ohio(w)
Sumter County, Florida(w)	Columbiana County, Ohio(w)	Tuscarawas County, Ohio(w)
Boone County, Indiana(w)	Cuyahoga County, Ohio (w)	Washington County, Ohio
Lake County, Indiana(w)	Huron County, Ohio (w)	

PUBLIC DEFENDER
Pulaski County, Arkansas
Lake County, Indiana(w)

PROBATION		
Pulaski County, Arkansas(j)	Clermont County, Ohio(w)	Medina County, Ohio(W) (j)
Leon County, Florida	Fairfield County, Ohio(w)	Miami County, Ohio (W)
Lake County, Indiana(w)	Franklin County, Ohio(w)	Montgomery County, Ohio(w)
Vanderburgh County, Indiana(w)	Huron County, Ohio (w) (J)	Portage County, Ohio
Ingham County, Michigan(w)	Jefferson County, Ohio (W) (J)	Richland County, Ohio(j) (W)
Kent County, Michigan (w)	Lake County, Ohio (J)	Ross County, Ohio(j) (W)
Auglaize County, Ohio (W)	Lawrence County, Ohio (w) (j)	Trumbull County, Ohio
Belmont County, Ohio (W)	Mahoning County, Ohio	Tuscarawas County, Ohio(w) (J)
Butler County, Ohio (W)		Wood County, Ohio(j) (W)

PROSECUTOR		
Pulaski County, Arkansas	Ingham County, Michigan(w)	Portage County, Ohio(w)
Lake County, Indiana(w)	Kent County, Michigan (w)	Trumbull County, Ohio(w)
Vanderburgh County, Indiana(w)	Mahoning County, Ohio	Tuscarawas County, Ohio(w)
	Montgomery County, Ohio(w)	

RECORDERS		
Leon County, Florida[w]	Allen County, Ohio*	Logan County, Ohio[w]
San Diego County, California	Lake County, Ohio	Lorain County, Ohio [w]
Saratoga County, New York*[w]		

[j] - Juvenile Court Only [w] - Indicates Windows Application* - Integrated Document Imaging Site

TRAFFIC/AREA COURTS		
Baker County, Florida[w]	Washington County, Florida[w]	Fairfield Municipal Court[w]
Citrus County, Florida[w]	Boone County, Indiana[w]	Franklin County, Ohio[w]
Dixie County, Florida[w]	Lake County, Indiana[w]	(Municipal Court)
Escambia County, Florida[w]	Tippecanoe County, Indiana[w]	Geauga County, Ohio
Glades County, Florida[w]	Vanderburgh County, Indiana[w]	Mahoning County, Ohio
Hendry County, Florida[w]	Ingham County, Michigan[w] *	(Four Courts)
Lake County, Florida[w]	Nevada AOC[w]	Miami County, Ohio[w]
Leon County, Florida[w]	(31 Courts)	(Two Courts)
Levy County, Florida[w]	Ashtabula County, Ohio	Portage County, Ohio
Manatee County, Florida[w]	(Two Courts)	(Four Courts)
Okeechobee County, Florida[w]	Belmont County Courts[w]	Putnam County, Ohio
Sarasota County, Florida [w] *	(Three Courts)	Rocky River Municipal Court[w]
Sumter County, Florida[w]	Clermont County, Ohio[w]	Warren Municipal Court[w]
	Columbiana County, Ohio[w]	Xenia Municipal Court[w]
	(Three Courts)	

WEB-BASED PUBLIC ACCESS		
Manatee County, Florida	Butler County, Ohio	Franklin County, Ohio
Alachua County, Florida	Clermont County, Ohio	Cuyahoga County, Ohio
Escambia County, Florida	Columbiana County, Ohio	Richland County, Ohio
Sarasota County, Florida	Trumbull County, Ohio	
Lake County, Florida	Hancock County, Ohio	

PUBLIC SAFETY		
CASE LOG INFO. **PROCESS** Lucas County Sheriff, Ohio(w) Toledo Municipal Court, Ohio(w) Toledo Police Department,OH(w) **CRS** Northwood Police Dept, OH(w) LUCAS County Sheriff, Ohio(w) Corrections Center of NW OH, (w) Toledo Municipal Court, Ohio(w) Toledo Police Dept, Ohio(w)	**INMATE RECORDS** Lucas County Sheriff, Ohio(w) Toledo Municipal Court, Ohio(w) Toledo Police Department, Ohio(w) **LEADS** Lucas County Sheriff, Ohio(w) Toledo Municipal Court, Ohio(w) Toledo Police Department, Ohio(w)	**RID** Northwood Police Dept, Ohio(w) Lucas County Sheriff, Ohio(w) Corrections Center of NW, OH, (w) Toledo Municipal Court, OH(w) Toledo Police Dept, OH(w) **WARRANT** Lucas County Law Enforcement Agencies, Ohio(w) Toledo Municipal Court, OH(w)

(j) - Juvenile Court Only(w) - Indicates Windows Application* - Integrated Document Imaging Site

WEB-BASED e-Filing Module		
Manatee County, Florida Sarasota County, Florida	Butler County, Ohio Trumbull County, Ohio	
WEB-BASED Payment Module		
Sarasota County, Florida	Franklin County, Ohio	

Exhibit 3-9: Client List provides a complete list of our clients.

3.5.2 PROJECT STAFFING AND ORGANIZATION

OUR SELECTED STAFF COLLECTIVELY OFFERS THE MOST EFFECTIVE COMBINATION OF SPECIALIZED EXPERTISE IN COURT CASE MANAGEMENT SYSTEMS.

MAXIMUS recognizes the importance of this project to the Division of State Court Administration of the Indiana Supreme Court. We know that selecting the proper candidates for all positions will be critical to the successful and timely completion of this project. We have, therefore, as shown in *Exhibit 3-10: Project Staffing Chart,* selected candidates who possess all the skills and experience required for the positions, who understand judicial business processes and requirements, and who are experienced in court case management systems planning and design. Our selected staff collectively offers the most effective combination of specialized expertise in court case management systems, as well as knowledge of how agencies in other states have effectively accomplished similar goals. Drawing on our considerable resources, both locally and nationwide, MAXIMUS offers a project team that brings to the State of Indiana Statewide Judicial Case Management Software System the skills and resources necessary to make it a success.

In this section, we provide the following information:

- Project staffing organization
- Staff availability and commitment to project

ASSIGNED STAFF	RESPONSIBILITIES
Bill Cottun **Project Director** *Mr. Cottun has over 20 years of professional information technology experience. His experience includes project management,….*	❑ Ultimately responsible for the successful implementation and transition of the Division Project ❑ Cultivates the partnership between you and MAXIMUS by focusing on mutual long-range goals. ❑ Coordinates the availability and allocation of all corporate and Systems Group resources necessary for the Project's success. ❑ Works closely with the Project Manager to provide support and advice. ❑ Provides guidance to the Project Team, interacts with members.
Jennifer Martin **Project Manager** *Ms Martin has over 6 years of experience in criminal justice, project management, training, research, statistical analysis and systems implementation. Her educational experience includes a Masters of Science in Criminal Justice.*	❑ Manages risk and assures quality. ❑ Produces program plans. ❑ Tracks progress and contract deliverables. ❑ Tracks all contract charges. ❑ Provides cost/schedule status reports. ❑ Responsible for the quality of the deliverables as contractual requirements. ❑ Responsible for the success of the Project and will direct the Project's day-to-day activities. ❑ Acts as the primary liaison between you and MAXIMUS. ❑ Provides guidance to the Project Team, interacts with members. ❑ Informs senior management of progress concerning your objectives.
Ted Howenstine **Senior Court Analyst** *Mr. Howenstine has over 15 years of experience in consulting services for state and local governments. His focus has been on the analysis of judicial client business processes, and the application of technology to improve those processes. In addition, he has extensive experience with the CourtView product.*	❑ Responsible for working with the Division Project Team in conducting analysis and determining the scope of the customization required. ❑ Identifies any functional items that were not identified in the PNCO. ❑ Works with CourtView product manager to develop specifications for all functional modifications.
Larry DePasquale **CourtView Product Manager** *Mr. DePasquale has over 16 years of experience in courts and software. He is experienced in court administration, software training, project management, and software design.*	❑ Responsible for working with the Division Project Team and MAXIMUS Court Analyst in the analysis for the customization required for CourtView. ❑ Prepares functional Analysis Document. ❑ Provides estimates of time and level of effort for all product modifications. ❑ Supervises team responsible for specification of all functional modifications.
Steven Sibert **CourtView Development Team Leader** *Mr. Sibert has over 11 years of professional experience in court management software development. He is experienced in multiple RDBMS and has the requisite*	❑ Develops detailed design document for customization. ❑ Supervises programmers for completing customization.

ASSIGNED STAFF	RESPONSIBILITIES
knowledge to complete the assigned task.	

ASSIGNED STAFF	RESPONSIBILITIES
Jason Badik **Data Conversion, Interfaces, and Systems Integration Team Leader** *Mr. Badik is experienced in software programming, development, conversion, and consulting services. He has extensive criminal justice expertise in system design and development, knowledge of multiple databases, and hardware and operating system platforms.*	❑ Responsible for the data schema for data conversion. ❑ Works with the Division Project Team to help develop data conversion schedule and test plans. ❑ Supervises team responsible for writing and testing data conversion programs. ❑ Upon customer authorization, executes data conversion in production environment.
Ken Pringle **System Implementation Team Leader** *Mr. Pringle is experienced in system management, network analysis, software development, and customer service. He has managed client installations and has criminal justice systems integration experience in web based and client/server implementations and management, database administrations, imaging and document management, and mini/mainframes implementation.*	❑ Responsible for IT infrastructure and technical architecture. ❑ Responsible for working with the Division Project Team to develop consistent standards for installation and setup. ❑ Responsible for coordinating with the Division Project Team all necessary interface and communication protocol standards. ❑ Responsible for training your IT staff to maintain system.
Diane Everhart **Training Team Leader** *Ms. Everhart has over 17 years of experience in courts. Her areas of criminal justice expertise includes case, financial, and judicial management training; development and implementation of training plans; automation assessment and implementation; and understanding of clerk, court, probation, and prosecutor internal operations.*	❑ Responsible for developing train-the-trainer schedules with the Division Project Team. ❑ Responsible for developing train-the-trainer class guides for the Division Project Team. ❑ Responsible for coordinating the MAXIMUS trainers.
Barbara Hajek-Cervenak **Quality Assurance Team Leader** *Ms. Hajek-Cervenak is experienced in quality assurance and software testing efforts, management of the process, assessment, and implementation of quality assurance tools and methodologies, management, assessment and editing of all product documentation, and technical support for alpha and beta releases of products.*	❑ Responsible for all Testing and Help. ❑ Responsible for testing all CourtView software before it can be released to you. ❑ Responsible for User Guides and On Line Help. ❑ Manages the testing process in the office to ensure standards are met.

Exhibit 3-10: Project Staffing Chart illustrates the staff that will be assigned to the project.

3.5.2.1 STAFF AVAILABILITY AND COMMITMENT TO PROJECT

MAXIMUS PROVIDES HIGHLY QUALIFIED STAFF TO ADDRESS YOUR NEEDS.

The Justice Solutions Division employs 109 professionals with responsibilities for systems analysis, design, programming, systems management, account management, training, support services, sales and marketing, and administrative support of CourtView.

MAXIMUS business focus is to provide high-quality services to you. Our success requires continuous availability of qualified staff to address your needs. We monitor very carefully the utilization and schedule commitments of all our resources. We also discuss and monitor your potential needs and prepare forecasts on a frequent basis. It is our objective to ensure that we are able to match your needs with the skills of our resources in a timely manner.

MAXIMUS policy with respect to the commitment of individuals proposed for duration of a project is clear and simple. MAXIMUS staff members who are proposed and assigned to a project are committed to the project until all assignments specified in the proposal are successfully completed. In addition, MAXIMUS recognizes that circumstances and project requirements may change over time and staff assignments may need to be modified. Currently, we have provided staffing for the project with staff members that are available and committed to the implementation of the State of Indiana Statewide Judicial Case Management Software System. Should we be required to substitute a staff member for the Division's project, we commit to replacement of the staff member with someone of similar skills and experience. MAXIMUS policy is to make every effort to accommodate your needs and successfully complete all requirements of the project.

MAXIMUS is fully prepared to make available all the resources required for the successful completion of any work under this contract. We manage these resources carefully, not only to ensure that the right skills are assigned to support all aspects of the project, but also to ensure the stability and growth of the firm. We hire highly skilled professionals, pay them well, and provide them with challenging work. In a firm experiencing the growth that MAXIMUS has enjoyed, we are able to offer opportunities for significant career growth within the firm. We also are willing and financially able to add to our staff resources as needed. MAXIMUS consistently provides you with a cadre of highly experienced government information technology professionals who have successfully worked together on projects across the United States.

We have included the resumes of all proposed staff members as *Appendix G.* The resumes include qualifications and experience. We match the requirements of the project to the skills and experience of the staff proposed in the implementation of the project. The staff has been selected for the Division of State Court Administration of the Indiana Supreme Court based on their extensive experience in the courts and with CourtView®. As is evident in the resumes, the proposed staff offers the stability you require due to the longevity of their employment with MAXIMUS.

4. DATA WAREHOUSE

MAXIMUS EXPERIENCED TEAM USES PROVEN REAL-WORLD TECHNIQUES.

The successful design and implementation of a data warehouse requires an organization that understands and utilizes appropriate technical analysis and management techniques to develop a statewide software solution. Our technical analysis and design methodologies are proven to be successful with real-world data. We understand that the development of a data warehouse is not the primary mission of the agencies collecting the data so the approach must be effective and not burdensome. Our project methodologies and internal project controls are designed and executed to get the project work done in a timely manner, within budget, with the highest quality possible, and with due care for project risks. Our Project Team is composed of senior, highly experienced personnel with the requisite project and technical skills, as well as knowledge and expertise in the complex and unique integrated justice environment.

The MAXIMUS Data Warehouse Team has had years of experience designing and implementing data warehouses. We have successfully bridged the gap from theory to practical performance.

The MAXIMUS Data Warehouse proposal for the project is structured as follows:

- Section 4.1: Data Warehouse Strategy,
- Section 4.2: Project Staffing, and
- Section 4.3: Qualifications and Experience.

4.1 DATA WAREHOUSE STRATEGY

The goals for the data warehouse are as follows:

- facilitate internal and external data sharing;
- deliver information independent of consumer or information location;
- support and integrate new technologies as they become available;
- support Internet access to information and services;
- allow for and deal with existing infrastructure;
- operate in a highly reliable, easily managed environment, which can be maintained/supported at the lowest possible cost;
- inhibit unauthorized access through proper security;
- support interoperability;
- operate with a high degree of stability; and
- utilize technology and products that are consistent with mainstream marketplace trends.

For the data warehouse we propose a solution built on these features.

- A central database containing:
  - XML case documents,
  - relational DB tables to index the XML documents; and
  - relational DB tables to summarize the XML documents;

- routing and Messaging (RAM) Server to submit case data to the central database; and
- web query interface serving HTML and XML responses from the central database.

The RAM Server is an existing product of MAXIMUS-Justice Solutions Division that supports the event-driven movement of data between diverse applications. If desired, the RAM Server and the web interface can be configured to support local, county, and regional data warehouses in addition to a central state-wide data warehouse.

The structure of the data warehouse indexes and statistical summaries will be customized to the customers' needs and specifications. For example, there might be different indexes built to track cases, offenders, attorneys, or events.

THE ARCHITECTURE CAN PROVIDE THE USER AS VARIETY OF CRIMINAL JUSTICE DATA TYPES.

The data warehouse is designed as a "pointer" system that indexes subject data and points to detailed data. Therefore, the architecture can provide the user a variety of criminal justice data types, such as court cases, warrants, incident reports, or arrests. Indexes can be built to support different needs such as offender tracking, case disposition, charge statistics, or property tracking.

The data warehouse makes its contents available through a browser-based interface that provides user-readable data or XML data. The XML data can be loaded into data analysis and reporting tools, or imported into other applications, for example, a prison can import sentencing data. These query screens are customized to support different queries and users.

Standard XML record definitions do not exist for all criminal justice record types. Some standardization efforts are underway, and the data warehouse can implement any appropriate standards. However, the data warehouse administration and the contributing agencies will be responsible for creating XML record definitions for most record types.

The basic data warehouse functions follow the criminal justice information integration paradigm as noted by SEARCH, The National Consortium for Justice Information and Statistics. This integration paradigm is consistent with future phases of the data warehouse design and encapsulates functionality desired by users. Five data sharing functions: Query, Push,

Pull, Publish, and Subscribe comprise the paradigm and are defined as follows.

BASIC DAT WAREHOUSE FUNCTIONS FOLLOW THE CRIMINAL JUSTICE INFORMATION INTERGRATIONS PARADIGM AS NOTED BY SEARCH.

- **Query** local, regional, and statewide databases through the data warehouse index to assess the criminal justice status of a person and determine if a person is currently wanted, has charges pending in another jurisdiction, is under some form of correctional supervision, or has a criminal history at the state or local level.

- **Publish** information regarding people, cases, events, and agency actions, based on actions posted to the data warehouse index. Publishing may be either electronic or paper-based. An instance in which the publishing of information is appropriate may be the routine publication of lists of prisoner releases.

- **Subscribe** to a notification service to allow agencies and individuals to formally subscribe and receive a notification that a particular criminal justice event has occurred and has been posted to the data warehouse index regarding a specified individual. A probation officer could automatically be notified whenever one of his / her clients is arrested or otherwise involved in the justice system.

- **Push** information to a participating agency, based on actions taken by a contributing agency and reported to the data warehouse index. Data could be pushed to various requesting agencies when arrest information is reported to state repositories.

- **Pull** information, based on the actions reported to the data warehouse index, from a contributing agency system for incorporation into the recipient agency system such as populating a correctional information system with offender and sentence information captured by the contributing court.

The common aspect of these integration functions is that posting information to the data warehouse is identified as a notification event. The data warehouse can provide a facility to allow agencies to define their information needs in terms of those events. These information needs can be expressed as business rules, which define the actions taken by the data warehouse when it is notified that a notification event has occurred, such as sending an e-mail, or transmitting some data.

Of primary concern is the security of the data warehouse system allowing for access by authorized users to those databases to which they have rights while effectively keeping unauthorized individuals out, and keeping legitimate users away from data to which they have no rights. Additionally, some specific data may be sensitive to certain agencies and not others. The data warehouse manages the basic security services

necessary to protect the data resources of their member agencies. These services are:

- identification and authentication;
- encryption;
- administration; and
- audit.

DATA SECRUITY IS A CORE FEATURE OF THE DATA WAREHOUSE.

The data warehouse supports different security mechanisms from anonymous access, to secure logins, to digital certificates. Encryption through Secure Sockets Layer is supported and encrypted e-mail is planned. The administration of user roles and agency defined security types is used to restrict record and field data access. The data warehouse can track each inquiry and the results returned to the user.

The data warehouse can be built on existing TCP/IP networks. The data warehouse servers are scalable to provide for growth in database capacities, participating agencies, and users. The data warehouse user interface is browser-based. Thus the data warehouse will be accessible to any authorized user with the capability to connect to the network and support a current browser. Internet access can also be supported.

4.1.1 DATA WAREHOUSE APPLICATIONS

The data warehouse application involves the creation and maintenance of the data warehouse indexes, the detail data (XML documents), and the queries to the data warehouse index. To maintain the data warehouse index and detail data, application functions exist for record insert, update, and removal.

The data warehouse is based on a common index structure. The query routines are custom built with Java Script and SQL languages. Data presentation is via HTML/XML pages.

Agency detail data stored on the data warehouse will use specific indexing and retrieval routines. Updates to detail data will be through the RAM Server, a court's data extract utilities, or custom programs. Data will be transferred via FTP, a database connection, or posting to a web server. The data extracts are used by the data warehouse to populate its indexes.

Users may subscribe to receive an e-mail notification when index information is updated to match user-defined parameters.

4.1.2 EXAMPLE QUERY

The data warehouse Offender Index is constructed from incident based reporting systems, arrest data, and court data. This index will enable a Subject Search function to search the DW using a variety of parameters including, name, sex, race, date of birth, and state and local identifying numbers. The data warehouse Offender Index will also contain the access level of the data that enables agency control over which agencies/users are granted permission to view the data. A search of the index will return any matching records. Detail data may then be retrieved from the XML documents.

4.1.3 DATA WAREHOUSE CENTRAL SERVER DESIGN

There are several types of servers necessary to support the data warehouse environment. These server types include application, web, file transport protocol (FTP), database, mail, and certificate servers and represent both logical and physical server configurations. Within the data warehouse network design, servers are logically grouped so that a single physical computer may be used for more than one type of server. As the data warehouse network evolves multiple physical servers may be grouped physically into server clusters for scalability requirements and separate servers may be dedicated to providing certain services creating an n-tiered environment. Finally, servers may be defined as secure servers – those servers behind the firewalls and contained within the secure network.

APPLICATION, WEB, FTP, DATABASE, MAIL, AND CERTIFICATE SERVERS COMPOSE THE DATA WAREHOUSE.

Server reliability and availability will be achieved through:

- clustering multiple machines,
- configuring multiple CPUs per machine, and
- utilizing operating system software with fail-over capabilities.

A server cluster typically consists of two or more computer nodes (CPUs) with access to common, replicated, or Redundant Array of Independent Disks (RAID) storage. When one node fails, the other node takes over and provides the necessary processing services. Clustering achieves exceptionally high availability via this fail over capability.

4.1.4 APPLICATION SERVER

The data warehouse central server configuration requires an application server that will provide the data warehouse business logic. The data warehouse application server is part of the data warehouse's n-tiered

architecture that consists of the various server types. Application server products consist of the server and operating systems identified previously.

4.1.5 WEB SERVER

For the data warehouse, a Web Server is defined to be a server that authenticates users and receives, creates, or forwards Web pages to authorized DW users. Web pages may contain a search request or present the results of a query, or the detail data, to a user. Web pages are displayed on a user's workstation using a web browser - either Netscape or Microsoft Internet Explorer.

4.1.6 DATABASE SERVER

The data warehouse database server is a server that contains and provides access to the data warehouse centralized indexes and contributing agency detailed data. It is responsible for updating the index and detail data upon receipt of update transactions from contributing agencies.

The following software products are preferred for DW database servers:

- Oracle Version 8 or higher,
- Informix 2000 Version 9.20 or higher, and
- Microsoft SQL Server 2000.

4.2 PROJECT STAFFING

MAXIMUS OFFERS AN EXPERIENCED AND INNOVATIVE DESIGN AND DEVELOPMENY TEAM.

MAXIMUS has selected candidates who possess all the necessary skills and experience required to design and implement the data warehouse, and who understand and have implemented integrated criminal justice systems, and who are experienced and knowledgeable in hardware implementations, network architectures, systems planning and design, and user training. MAXIMUS offers a Project Team that brings to you the skills and resources necessary to make this project a success.

Exhibit 4-1: Data Warehouse Project Organization Table illustrates the proposed project team MAXIMUS has selected for the Data Warehouse Project, and a brief description of their qualifications. Professional resumes of the Project Team are provided in *Appendix H.*

ASSIGNED STAFF	RESPONSIBILITIES
David A. Nash **Senior Technical Specialist** *Mr. Nash is experienced in managing, designing, developing and implementing software projects for the public sector and private industry, nationally and internationally. He has over 15 years of experience in managing projects, analyzing requirements, performing needs analysis, designing client/server as well as web-based, applications and databases, optimizing and tuning relational databases and developing and implementing software. He is well versed in rapid application development techniques, and is an accomplished troubleshooter.*	Manage Project Coordinate with CourtView development staff Coordinate with CourtView trainers Interact with Division personnel and perform needs analysis Produce requirements definitions Design application and databases Develop application software Provide guidance to project team
Harjit S. Batra **Senior Technical Specialist** *Mr. Batra is experienced in analyzing user requirements, designing, developing, testing and implementing software projects for the public sector and private industry. He has over 15 years of experience in designing client/server as well as web-based, applications and databases, and in developing, testing and implementing software projects. His special interests are in server and network configurations and in application and network security.*	Design application and databases Develop application software Design and implement application security Provide guidance to project team Write system documentation
William F. Meade **Senior Developer** *Mr.. Meade is experienced in developing client/server as well as web-based, applications. He has 2 years of experience developing and implementing software.*	Participate in design Build database objects Develop application software Assist with documentation

Exhibit 4-1: Data Warehouse Project Organization Table details qualifications and duties of the staff that will implement the data warehouse.

4.3 QUALIFICATIONS AND EXPERIENCE

MAXIMUS has been successfully designing and implementing data warehouse solutions for government and commercial clients since 1991.

4.3.1 OHIO JUSTICE INFORMATION NETWORK (OJIN)

Data Warehouse Relevance

- ✓ Network Design and Development
- ✓ User Interface Design
- ✓ Development of XML Standards
- ✓ Database Query optimization
- ✓ Security Design and Implementation

OJIN is designed to allow users access to the most current criminal justice information available in the state via a single system. The OJIN architecture addresses these issues by providing a variety of implementation and configuration choices for agencies. Agencies participate in OJIN using the most effective architectural model based upon their own criminal justice environment. The OJIN design does not impose pre-defined architectural models upon Ohio's criminal justice agencies. Instead, it identifies a set of architectural principles that address agencies' specific requirements and builds a flexible, adaptive, and maintainable OJIN architecture based upon those principles.

MAXIMUS developed the following application software components for the OJIN:

- ❑ XML definitions for index and detailed data;
- ❑ web-based browser queries for OJIN index data;
- ❑ queries for detailed data on the OJIN central server and/or on existing agency database servers;
- ❑ update (add, change, delete) transactions for the centralized OJIN index of pointers to data located in existing agency criminal justice systems; and
- ❑ update (add, change, delete) transactions for the detailed data OJIN repository.

OJIN UNITES GEOGRAPHICALLY AND TECHNICALLY DIVERSE CRIMINAL JUSTICE AGENCIES INTO A SINGLE INTERFACE.

The OJIN Proof-of-Concept Prototype is a data warehouse that collects data from diverse agencies. It includes a subset of the current Ohio criminal justice environment and agencies depicted in. *Exhibit 4-2: OJIN POCP Network Diagram* illustrates the network environment that will be supported by the OJIN POCP. The shaded area indicates the only addition to the existing LEADS network, that of the OJIN server and the

proxy server for Stark County. The following participating agencies are involved in the OJIN POCP:

- Cuyahoga Regional Information System (CRIS) will be a contributing agency that provides arrest data to OJIN;
- Stark County Court of Common Pleas and the Canton Municipal Court will provide criminal court case data from the Clerks database;
- Columbus Police Department (CPD) will provide CPD mugshot system data to OJIN; and
- Office of Criminal Justice Services (OCJS) will provide OIBRS data to the OJIN.

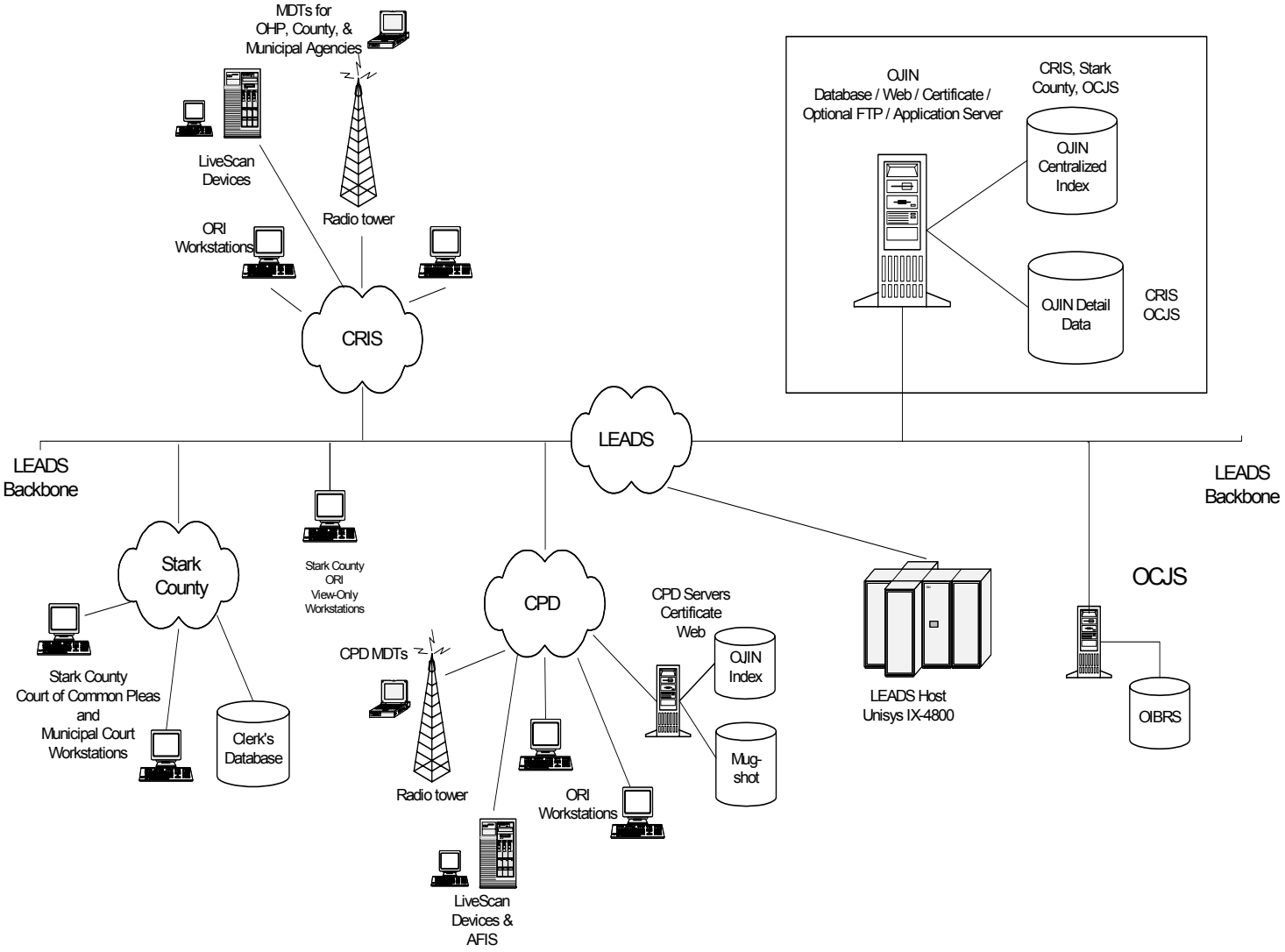


Exhibit 4-2: OJIN POCP Network Diagram shows the variety and distribution of data sources and users supported by OJIN.

The OJIN POCP accepted detailed data from the participating agencies and built indexes to the data. The primary query searches for offenders by name, ID numbers, and other personal information. The system is capable of searching one million records, and returning the results, in less-than two-seconds.

The OJIN POCP data warehouse relied heavily on XML to provide data mobility between different database systems and between the database and the web server. A sample XML definition is in *Exhibit 4-3: OJIN Subject Index XML definition*.

```
<!-- OJIN Proof of Concept Prototype -->
<!-- OJIN Index definition -->
<!-- 13 MAR 2001, DNASH -->
<!ELEMENT ojin_index (ojin_index_itn* , ojin_index_alias*)>
<!ATTLIST ojin_index agency_id     CDATA #REQUIRED
              agency_key     CDATA #REQUIRED
              record_type    (BOOKING | MUGSHOT | CRIMCASE | OIBRS ) #REQUIRED
              security_type  CDATA 'NONE'
              update_datetime CDATA #REQUIRED
              create_datetime CDATA #REQUIRED
              name_first     CDATA #IMPLIED
              name_last      CDATA #IMPLIED
              name_middle    CDATA #IMPLIED
              name_suffix    CDATA #IMPLIED
              name_title     CDATA #IMPLIED
              dob          CDATA #IMPLIED
              sex          (M | F | U ) #IMPLIED
              race         (W | B | I | A | U ) #IMPLIED
              weight       CDATA #IMPLIED
              height       CDATA #IMPLIED
              ssn          CDATA #IMPLIED
              bci_number     CDATA #IMPLIED
              fbi_number     CDATA #IMPLIED
              local_id_number CDATA #IMPLIED
              hair_color     (BLK |
                        BLN |
                        BRO |
                        GRY |
                        RED |
                        SDY |
                        WHI |
                        XXX ) #IMPLIED
              eye_color      (BLK |
                        BLU |
                        BRO |
                        GRN |
                        GRY |
                        HAZ |
                        MAR |
                        MUL |
                        PNK |
                        XXX ) #IMPLIED
              xml_address    CDATA    #IMPLIED
              html_address   CDATA    #IMPLIED
              caption      CDATA    #IMPLIED
              a-dtype      NMTOKENS 'agency_id     number
                             update_datetime dateTime
                             create_datetime dateTime' >
<!ELEMENT ojin_index_itn EMPTY>
<!ATTLIST ojin_index_itn  itn CDATA  #REQUIRED >
<!ELEMENT ojin_index_alias EMPTY>
<!ATTLIST ojin_index_alias  name_last  CDATA #IMPLIED
                 name_first CDATA #IMPLIED
                 name_middle CDATA #IMPLIED
                 name_title CDATA #IMPLIED
                 name_suffix CDATA #IMPLIED >
```

Exhibit 4-3: OJIN Subject Index XML Definition describes the data stored in the subject index.

Examples of the web pages, which have been designed to support the OJIN query transactions, are shown in *Exhibits 4-4 through 4-6.*

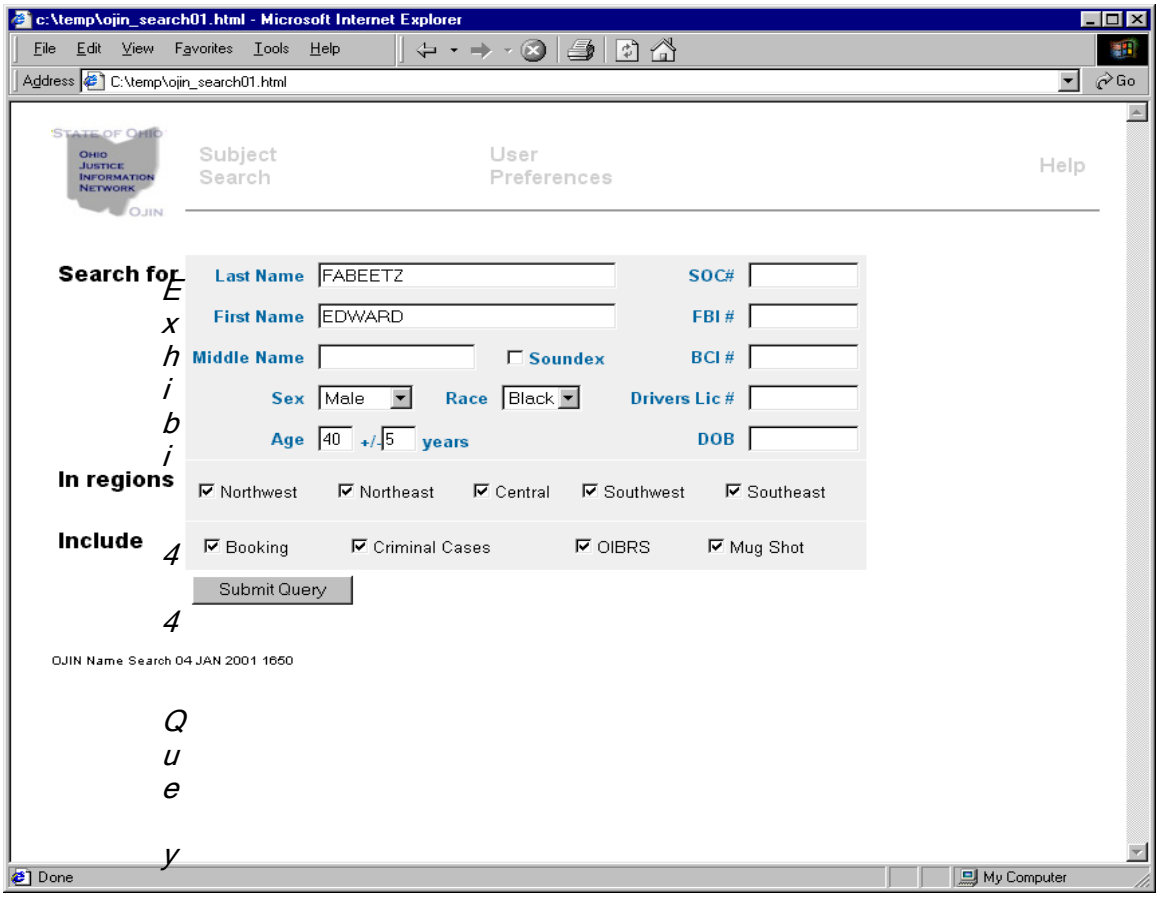


Exhibit 4-4: Criteria for Subject Search provides a layout for users to enter query criteria for a subject search.

Exhibit 4-4: Criteria for Subject Search, provides a layout for users to enter query criteria for a subject search. The exact format of the subject search criteria screen and the search choice options are dependent on each user's security rights and all data types may not be accessible to every user. The web page sample includes criteria entered to search for an individual whose name is Edward Fabeetz. It illustrates the availability of the following search options: demographic information, soundex for first and last name, age range, subject identifiers, search by region (as a workstation's mouse is passed over a region name, the contributing agencies for that region will be displayed), and search specific types of information

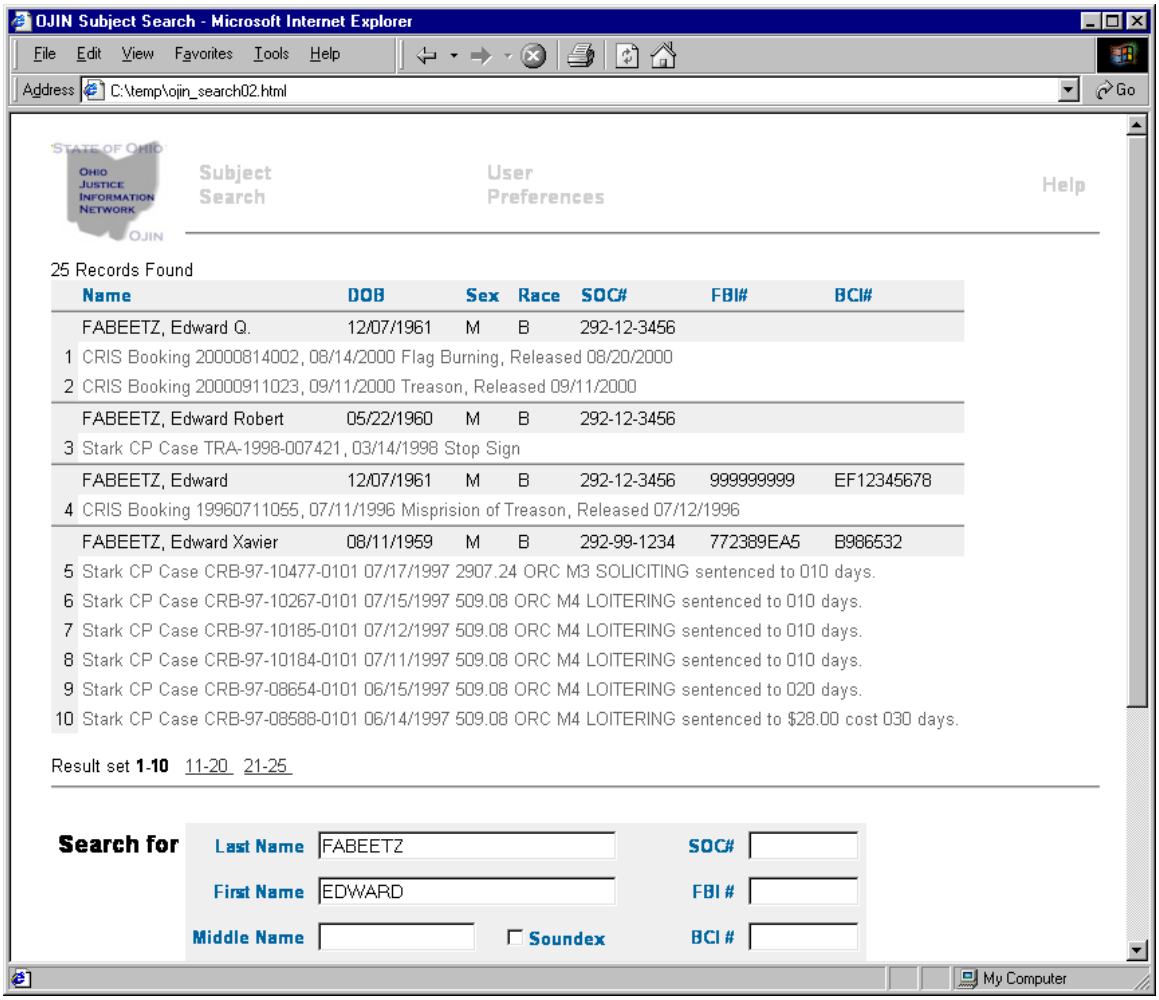


Exhibit 4-5: OJIN Index Search Results provides a sample listing of results found by a search.

Exhibit 4-5: OJIN Index Search Results provides a sample listing of results found by a search. It illustrates each distinct group of offender identifiers, the four Fabeetz lines indicating different values of Social Security Number, FBI number, and BCI identifier, and lists the available detail records - the 10 numbered cases or bookings. Following the list are links to additional sets of ten results. The search criteria are displayed again to allow the user to narrow or change the search, depending upon the results. Clicking on the detail record presents the full detail record data.

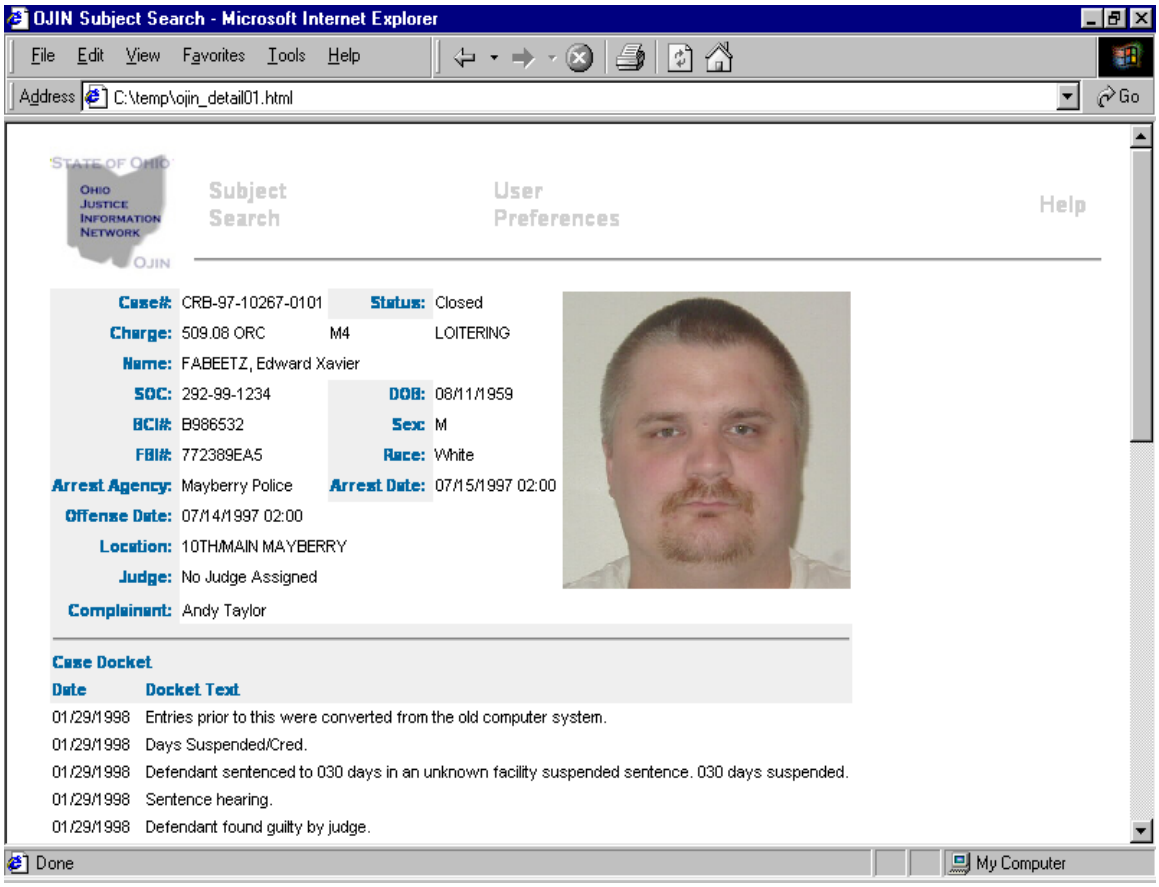


Exhibit 4-6: OJIN Detail Information shows the layout of detailed case information.

Exhibit 4-6: OJIN Detail Information shows the layout of detailed case information. The actual data displayed will depend on the XML definition for each record type. This sample shows the navigation to each row in the current result set and to each result set. Again, the search criteria is displayed to allow the user to narrow or change the search.

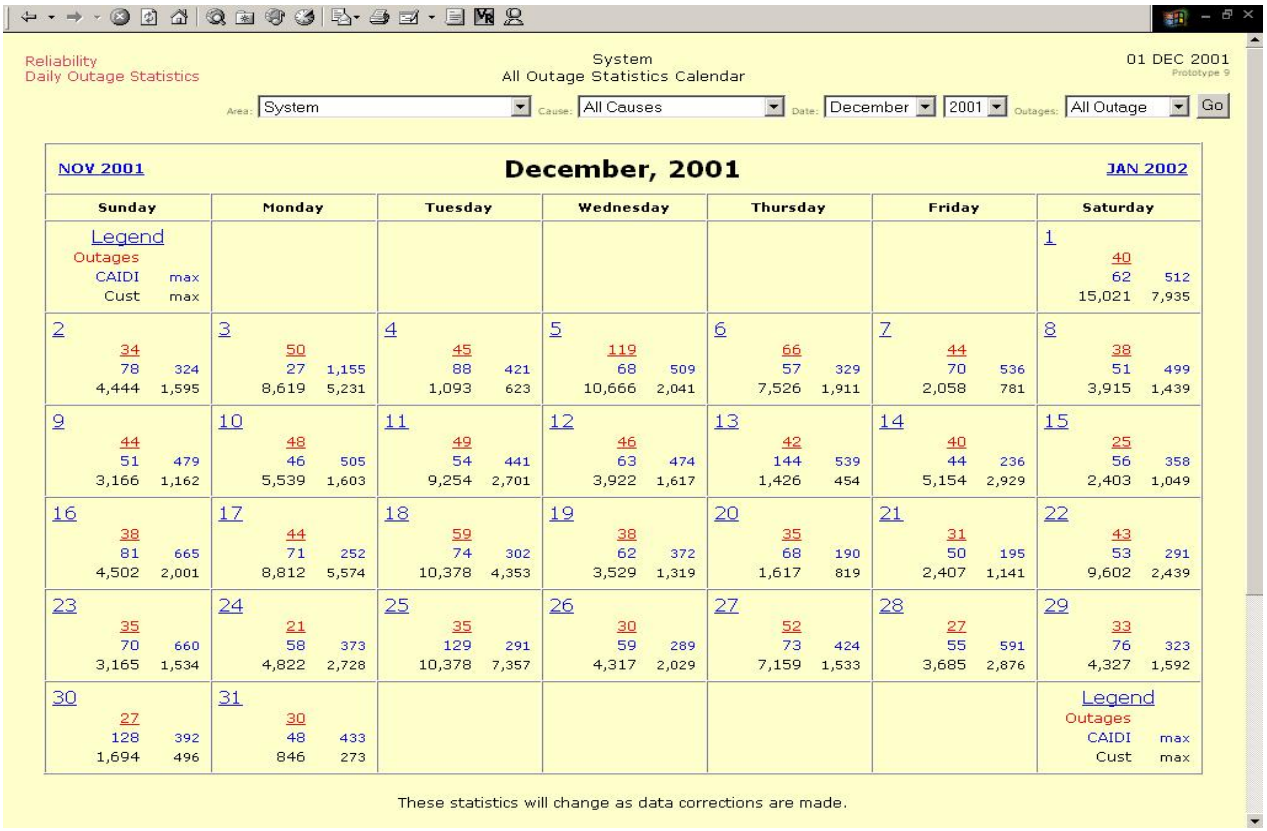
4.3.2 INTERRUPTION REPORTING SYSTEM (IRS) DATA WAREHOUSE

Data Warehouse Relevance

- ✓ User Interface Design
- ✓ Database Query optimization
- ✓ Security Design and Implementation

The Interruption Reporting System (IRS) of a major electric utility was designed to track and resolve interruptions in electrical service, but provided little support for inquiry and reporting. The data warehouse extension collects data from multiple mainframe and client-server databases, and builds statistical summaries within logical groups by equipment type, cause, crew, political division, supervisory region, and others. Both detail and summary data are presented through a variety of browser interfaces, including outage lists, calendars, and graphical statistics. Each interface allows drill-down, drill-up, and pan-across navigation.

The data warehouse was created using and Oracle database and Microsoft IIS web server running ASP scripts. *Exhibit 4-7 through 4-12* are examples of the user interfaces. All charts and graphs are generated on demand from the data warehouse.



Reliability
Daily Outage Statistics

System
All Outage Statistics Calendar

01 DEC 2001
Prototype 9

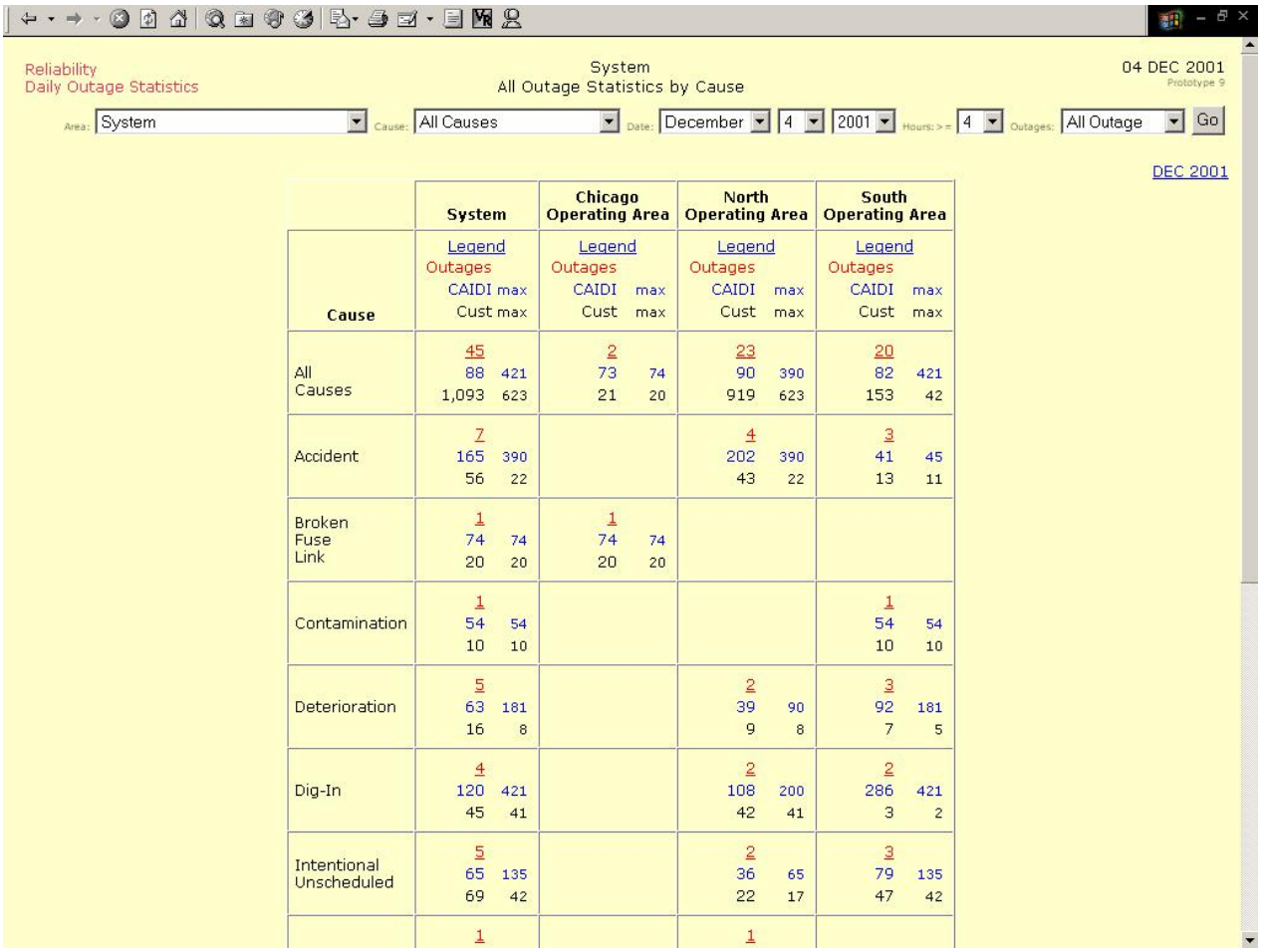
Area: System | Cause: All Causes | Date: December 2001 | Outages: All Outage | Go

NOV 2001 — **December, 2001** — JAN 2002

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Legend Outages CAIDI max Cust max						1 40 62 512 15,021 7,935
2 34 78 324 4,444 1,595	3 50 27 1,155 8,619 5,231	4 45 88 421 1,093 623	5 119 68 509 10,666 2,041	6 66 57 329 7,526 1,911	7 44 70 536 2,058 781	8 38 51 499 3,915 1,439
9 44 51 479 3,166 1,162	10 48 46 505 5,539 1,603	11 49 54 441 9,254 2,701	12 46 63 474 3,922 1,617	13 42 144 539 1,426 454	14 40 44 236 5,154 2,929	15 25 56 358 2,403 1,049
16 38 81 665 4,502 2,001	17 44 71 252 8,812 5,574	18 59 74 302 10,378 4,353	19 38 62 372 3,529 1,319	20 35 68 190 1,617 819	21 31 50 195 2,407 1,141	22 43 53 291 9,602 2,439
23 35 70 660 3,165 1,534	24 21 58 373 4,822 2,728	25 35 129 291 10,378 7,357	26 30 59 289 4,317 2,029	27 52 73 424 7,159 1,533	28 27 55 591 3,685 2,876	29 33 76 323 4,327 1,592
30 27 128 392 1,694 496	31 30 48 433 846 273					Legend Outages CAIDI max Cust max

These statistics will change as data corrections are made.

Exhibit 4-7: Statistics Calendar is the gateway to the data warehouse. The cells display the five key statistics for each day and according to the user criteria. The same cell layout is repeated throughout the browser screens.



Reliability
Daily Outage Statistics

System
All Outage Statistics by Cause

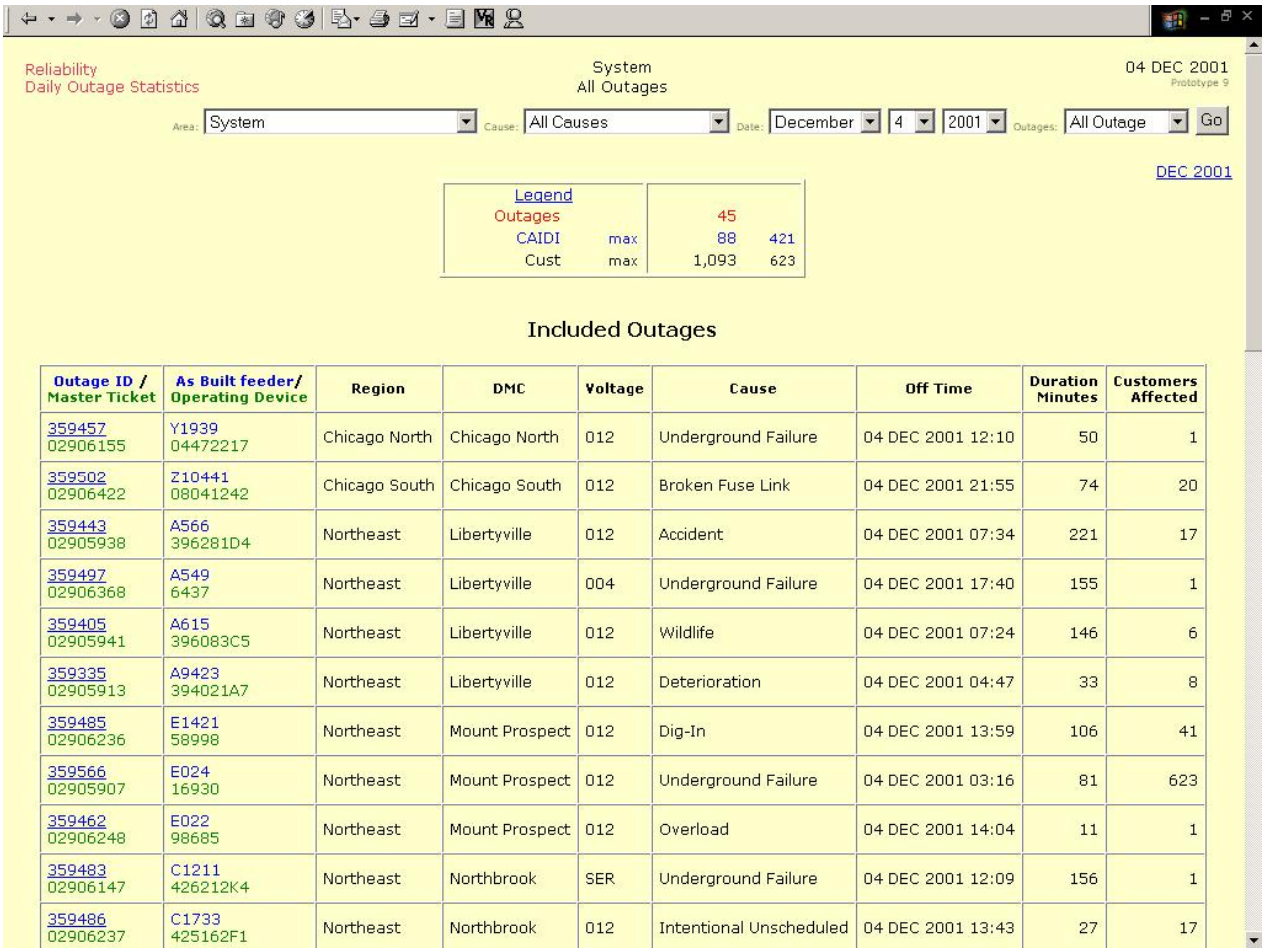
04 DEC 2001
Prototype 9

Area: System | Cause: All Causes | Date: December 4 2001 | Hours: >= 4 | Outages: All Outage | Go

DEC 2001

Cause	System	Chicago Operating Area	North Operating Area	South Operating Area
	Legend	Legend	Legend	Legend
	Outages	Outages	Outages	Outages
	CAIDI max	CAIDI max	CAIDI max	CAIDI max
	Cust max	Cust max	Cust max	Cust max
All Causes	45	2	23	20
	88 421	73 74	90 390	82 421
	1,093 623	21 20	919 623	153 42
Accident	7		4	3
	165 390		202 390	41 45
	56 22		43 22	13 11
Broken Fuse Link	1	1		
	74 74	74 74		
	20 20	20 20		
Contamination	1			1
	54 54			54 54
	10 10			10 10
Deterioration	5		2	3
	63 181		39 90	92 181
	16 8		9 8	7 5
Dig-In	4		2	2
	120 421		108 200	286 421
	45 41		42 41	3 2
Intentional Unscheduled	5		2	3
	65 135		36 65	79 135
	69 42		22 17	47 42
	1		1	

Exhibit4-8: Statistics by Cause is one of the displays available by drilling-down from the Calendar Statistics. It provides the statistics cells by cause and geographic region. It supports drill-down, drill-up, and panning to other data.



Reliability
Daily Outage Statistics

System
All Outages

04 DEC 2001
Prototype 9

Area: System | Cause: All Causes | Date: December 4 2001 | Outages: All Outage | Go

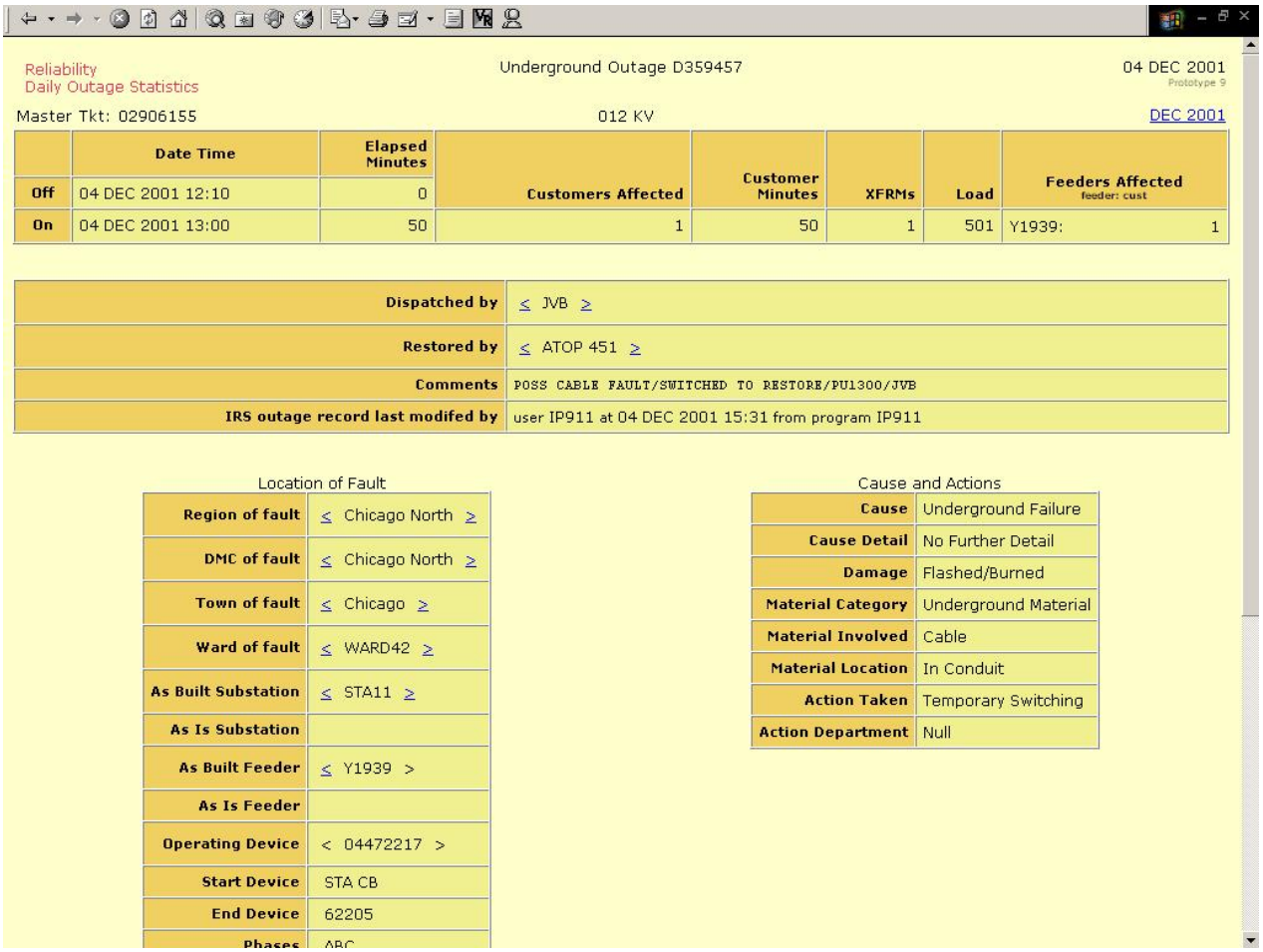
DEC 2001

Legend			
Outages		45	
CAIDI	max	88	421
Cust	max	1,093	623

Included Outages

Outage ID / Master Ticket	As Built feeder/ Operating Device	Region	DMC	Voltage	Cause	Off Time	Duration Minutes	Customers Affected
359457 02906155	Y1939 04472217	Chicago North	Chicago North	012	Underground Failure	04 DEC 2001 12:10	50	1
359502 02906422	Z10441 08041242	Chicago South	Chicago South	012	Broken Fuse Link	04 DEC 2001 21:55	74	20
359443 02905938	A566 396281D4	Northeast	Libertyville	012	Accident	04 DEC 2001 07:34	221	17
359497 02906368	A549 6437	Northeast	Libertyville	004	Underground Failure	04 DEC 2001 17:40	155	1
359405 02905941	A615 396083C5	Northeast	Libertyville	012	Wildlife	04 DEC 2001 07:24	146	6
359335 02905913	A9423 394021A7	Northeast	Libertyville	012	Deterioration	04 DEC 2001 04:47	33	8
359485 02906236	E1421 58998	Northeast	Mount Prospect	012	Dig-In	04 DEC 2001 13:59	106	41
359566 02905907	E024 16930	Northeast	Mount Prospect	012	Underground Failure	04 DEC 2001 03:16	81	623
359462 02906248	E022 98685	Northeast	Mount Prospect	012	Overload	04 DEC 2001 14:04	11	1
359483 02906147	C1211 426212K4	Northeast	Northbrook	SER	Underground Failure	04 DEC 2001 12:09	156	1
359486 02906237	C1733 425162F1	Northeast	Northbrook	012	Intentional Unscheduled	04 DEC 2001 13:43	27	17

Exhibit 4-9: Included Outages lists the outages summarized by the statistics cell. Users navigate to this page by clicking on the red outage count in any statistics cell in the application.



Reliability
Daily Outage Statistics

Underground Outage D359457

04 DEC 2001
Prototype 9

Master Tkt: 02906155

012 KV

DEC 2001

	Date Time	Elapsed Minutes	Customers Affected	Customer Minutes	XFRMs	Load	Feeders Affected feeder: cust
Off	04 DEC 2001 12:10	0					
On	04 DEC 2001 13:00	50	1	50	1	501	Y1939: 1

Dispatched by	≤ JVB ≥
Restored by	≤ ATOP 451 ≥
Comments	POSS CABLE FAULT/SWITCHED TO RESTORE/PU1300/JVB
IRS outage record last modifed by	user IP911 at 04 DEC 2001 15:31 from program IP911

Location of Fault

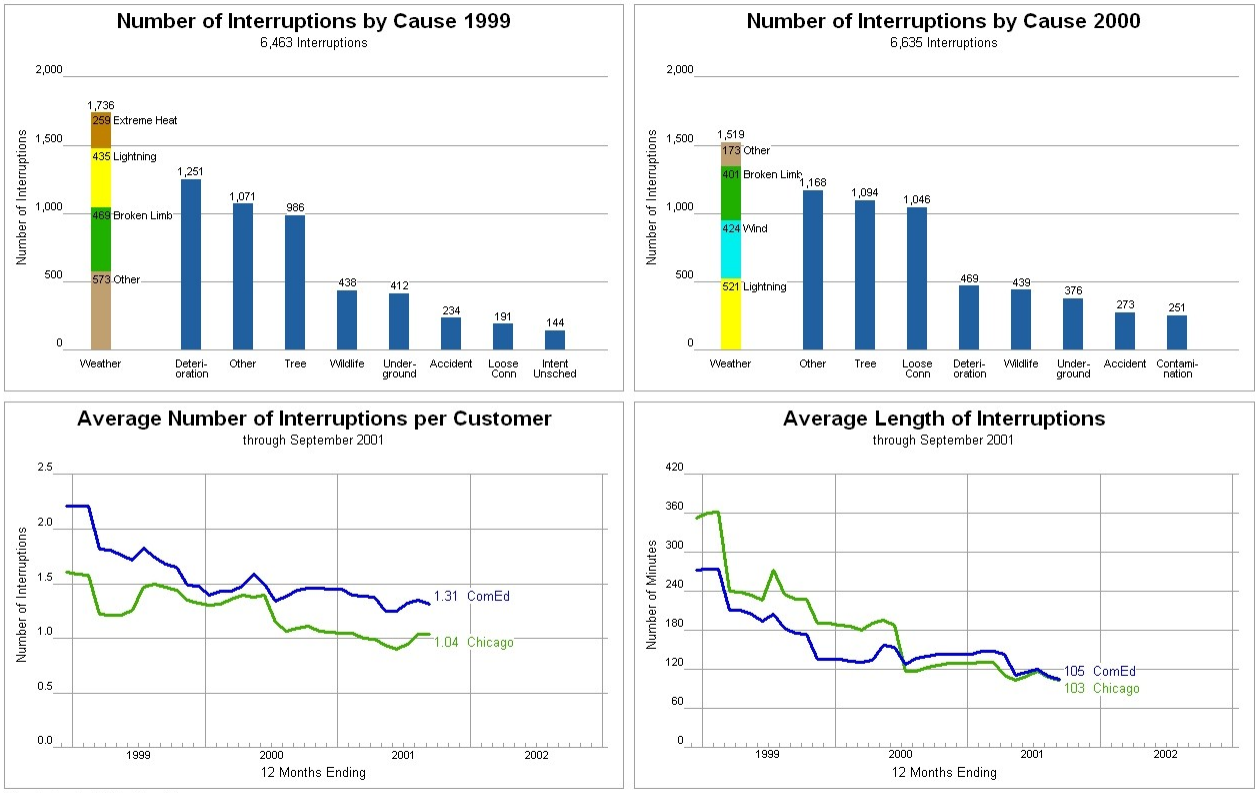
Region of fault	≤ Chicago North ≥
DMC of fault	≤ Chicago North ≥
Town of fault	≤ Chicago ≥
Ward of fault	≤ WARD42 ≥
As Built Substation	≤ STA11 ≥
As Is Substation	
As Built Feeder	≤ Y1939 >
As Is Feeder	
Operating Device	< 04472217 >
Start Device	STA CB
End Device	62205
Phases	ABC

Cause and Actions

Cause	Underground Failure
Cause Detail	No Further Detail
Damage	Flashed/Burned
Material Category	Underground Material
Material Involved	Cable
Material Location	In Conduit
Action Taken	Temporary Switching
Action Department	Null

Exhibit 4-10: Outage Details displays an outage, the lowest level data in the data warehouse. The user can drill-up to the calendar page on which this outage is summarized, or pan to the previous or next outage involving the area, equipment, or personnel.

Chicago Reliability Indices



Created by Reliability Reporting
17 October 2001

Exhibit 4-11: Graphical Summary is produced by the data warehouse for inclusion in reports and presentations to the public.

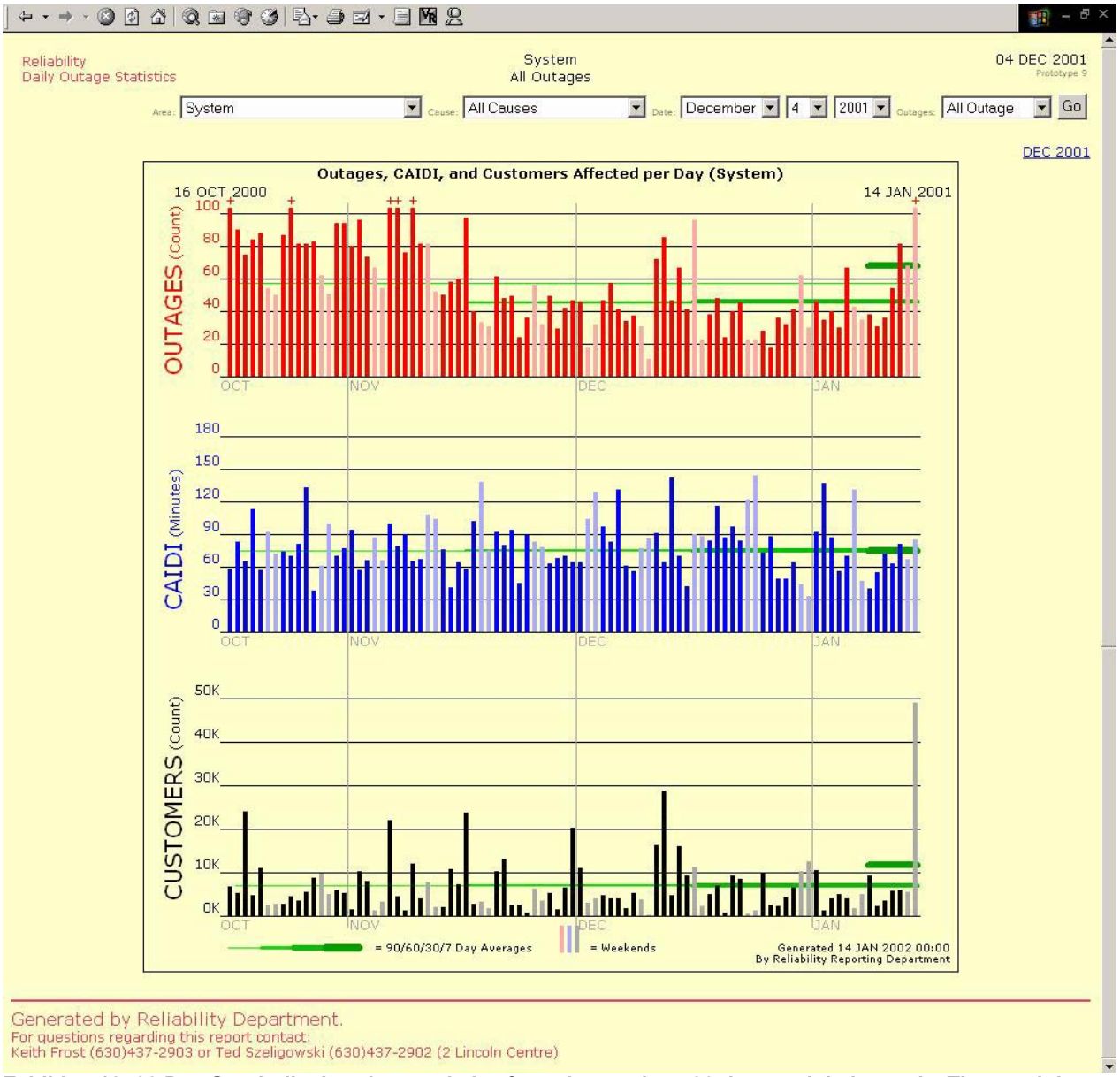


Exhibit 4-12: 90 Day Graph displays key statistics from the previous 90 days and their trends. The graph is drawn on demand from the data warehouse using user-specified criteria. This page is used by managers and executives to quickly spot trends and exceptions, and offers drill-down to the outages summarized in each bar.

5. ANCILLARY SERVICES/PROJECT MANAGEMENT PROVIDER

SECTION ORGANIZATION

The successful delivery of the Indiana Statewide Judicial Case Management Software System Project (Indiana CMS Project) for the Division of State Court Administration of the Supreme Court of Indiana (the Division) requires a firm that understands and implements appropriate management techniques to plan, execute, and manage the design and implementation of a statewide software solution. Our project methodologies and internal project controls are designed and executed to complete the work in a timely manner, within budget, with the highest quality possible, and with due care for project risks. Our Project Team is composed of senior, highly experienced personnel with the requisite project and technical skills, as well as knowledge and expertise in the complex and unique integrated justice environment.

The MAXIMUS Project Team has had years of hands-on experience across a wide range of government entities. We know that technical project issues are always resolvable; the challenge is to successfully address the non-technical aspects of integration. Our management practices, approaches, and philosophies recognize this reality and are designed to focus on communication, benefits, participation, and issue resolution.

5.1 PROJECT MANAGEMENT METHODOLOGY

The objective of the Ancillary Services/Project Management component of the Indiana CMS Project is for MAXIMUS, together with the Division, to provide management services and expertise in the implementation of this important project. In this section we describe our project management approach, including project management and quality assurance, and the proposed Project Team structure. In addition, we discuss our experience in managing large-scale projects, experience with Court Management Software (CMS) products, hardware and network connectivity, and in providing user training. Our Project Team includes individuals who have the necessary experience and qualifications for this project and who have implemented similar systems. The Project Team structure is an effective organization for project delivery and status reporting. Our project management and quality assurance processes provide consistent, standardized, and repeatable processes to ensure that this project is

successfully completed to the expectations and satisfaction of the Division.

5.1.1 PROJECT MANAGEMENT METHODOLOGY

OUR PROJECT MANAGEMENT METHODOLOGY IS A PROVEN AND SUCCESSFUL APPROACH THAT HAS BEEN USED EFFECTIVELY IN ALL TYPES OF PROJECT ENIVORNMENTS.

The MAXIMUS project management methodology is based on timely delivery of a quality solution for our clients. It is a proven and successful approach that has been used effectively in all types of project environments. Most projects face four major competing goals: time, cost, quality, and risk. Successful projects are completed in a timely manner, within budget, with the highest quality possible given the available budget and resources, and with due care for project risks. Understanding these factors and their interrelationship allows the MAXIMUS Project Team to implement a balanced project management, quality assurance process, and system development and planning life cycle approach.

MAXIMUS project management methods are in keeping with industry standards. They have been refined through our many years of experience with governmental information systems projects and experience with municipal, county, and statewide system planning, design, and implementation projects. MAXIMUS builds the core of our project management upon five guiding principles:

- a clear definition of authority and responsibilities,
- a detailed work plan that is understood and agreed upon by all participants,
- constant and open communications with the client,
- conscious management of risks and issues, and
- a detailed methodology for quality assurance.

MAXIMUS subscribes to the principles and philosophy encapsulated in the Project Management Body of Knowledge promoted by the Project Management Institute (PMI). The PMI process and standards have been adopted as a corporate standard. Ms. Linda Ruff, the Project Director, and Mr. Patrick VanderVeen, the Technical Project Manager, have undergone PMI training and use these project management methodologies and techniques. *Exhibit 5-1: Project Management Core Processes*, depicts the basic cycle or workflow for the MAXIMUS project management approach. MAXIMUS intends to perform each of these processes for Indiana CMS Project. These processes are as follows.

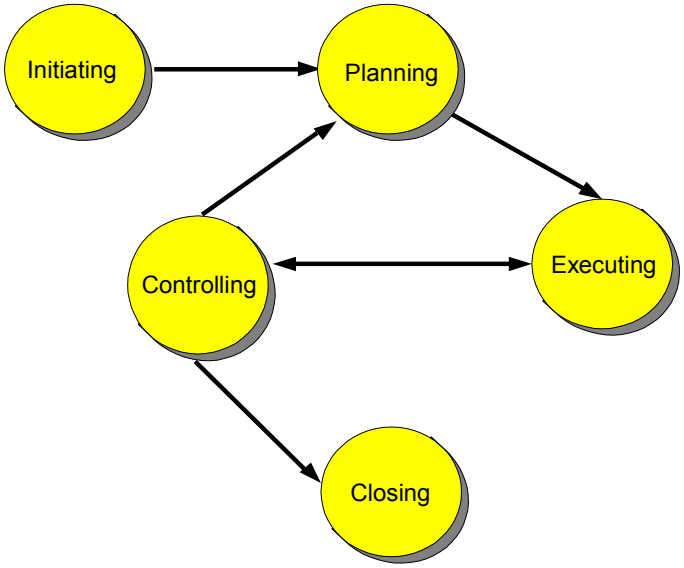


Exhibit 5-1: Project Management Core Processes **depicts the basic cycle or workflow for the MAXIMUS project management approach.**

5.1.2 PROJECT INITIATION

The purpose of the Project Initiation core process is to:

- successfully launch the Indiana CMS Project,
- establish working relationships,
- finalize the Project Work Plan, and
- organize our Project Team and that of the Division and participating local agencies to perform the necessary tasks required for project completion.

Upon completion of the Project Initiation process, Project Team members have a thorough understanding of the scope of the Indiana CMS Project, their individual responsibilities, the schedule, and the dependencies involved with each task. Team members have an appropriate work place with access to the necessary tools for the appropriate phase of the Indiana CMS Project. Management expectations for the project, in the form of communications, management reporting, standards, and methodologies, are established and understood by all participants. In summary, this phase institutes the necessary Project Work Plan controls to facilitate the management of the project and establish the guidelines to ensure the project stays focused on its mission.

The Project Initiation process contains three major activities; Project Work Plan Revision and Approval, Establishment of Project Communications, and Project Kickoff.

5.1.2.1 PROJECT WORK PLAN REVISION AND APPROVAL

OUR PROJECT WORK PLAN IS DELIVERABLE BASED AND MILESTONE DRIVEN.

We develop our proposed Project Work Plan using Microsoft Project. During Project Initiation, the MAXIMUS Project Team meets with the Division Project Coordinator to review the Project Work Plan presented as part of this Proposal, add additional detailed tasks, and make adjustments as necessary. Mr. Patrick VanderVeen, the MAXIMUS Technical Project Manager, reviews the project's tasks, work breakdown structure, and resource assignments, as well as milestones and deliverables with the Division Project Coordinator and other appropriate personnel. The Project Work Plan is then updated to outline the tasks, hours, personnel, and deliverable products required to accomplish the project. Our Project Work Plan is deliverable-based and milestone-driven. Once the Project Work Plan has been updated, it is submitted to the Division Project Coordinator for review and approval. Other than progress updates and changes approved by the Division Project Coordinator, no further changes are made to the approved Project Work Plan.

5.1.2.2 ESTABLISHMENT OF PROJECT COMMUNICATIONS

MAXIMUS uses several methods of communication throughout the project. Key parameters that must be established during Project Initiation are the creation of a project library; documentation of the project documents distribution mechanism(s); and identification of the stakeholders, management, and other interested parties with whom communication must occur.

Establish Project Office and Library

One of the enabling factors of project management and communications is ready access to client personnel. We request that Division provide on-site facilities for our Project Team members. Although MAXIMUS plans to do some of the development of the Indiana CMS Project at our facility, some of the MAXIMUS Project Team staff should be on-site throughout the project. This is necessary to effectively manage the project and communicate with the appropriate staff of the Division and the participating local agencies. The on-site facilities should include reasonable and appropriate office workspace; access to telephone, facsimile, and copying services; access to an IP network for the purposes of printing, e-mail correspondence between MAXIMUS and Division

Project staff, and use of the Internet, as may be required for the project. MAXIMUS also intends to maintain a complete project library of documentation related to the Indiana CMS Project at this site. This documentation may include:

- previously prepared plans, strategies, and documentation relevant to the project;
- systems documentation for existing systems, technical infrastructure, and the like;
- the Project Work Plan;
- the MAXIMUS Issue and Risk Tracking System (MIRTS) database;
- project deliverables and supporting documentation;
- contractual files; and
- a correspondence control log and correspondence forwarded to and received from the Division Project Team and other involved staff.

MAXIMUS emphasizes active communication when conducting projects. To ensure that all project participants have up-to-date project documents, MAXIMUS can establish a project web site that contains project documents, announcements, and other useful information. This allows Division staff to access project documents as needed, rather than stockpiling folders at their desks. The creation of the project web site is dependent upon whether the Division can provide appropriate and sufficient web server resources to support and maintain it and whether the majority of project participants can have access to the web site. If that environment is not available from the Division, MAXIMUS is prepared to distribute project information via e-mail or paper means.

Identify Project Controls

PROJECT COMMUNICATION MEDIA AND SYSTEM WILL BE CUSTOMIZED TO THE INDIANA CMS PROJECT.

Mr. VanderVeen, the MAXIMUS Technical Project Manager, is charged with working with the Division Project Coordinator to identify contacts within the participating agencies and individuals that assume various roles and responsibilities. Such individuals include participants in activities such as the identification of software environments and specifications for the participating local systems, validation, and approval of the technical infrastructure components deliverable presentations, reviews, and other activities throughout the project.

Once the project participants are identified, Mr. VanderVeen, the Division Project Coordinator, and other appropriate personnel prepare a list of individuals or agencies with a legitimate interest in monitoring the progress of this project. The nature of the individual or agency's interest is also identified. MAXIMUS then designs a set of project communication media and styles that are appropriate to the Indiana CMS Project, such as project status meetings, project status reports, distribution and review of

project deliverables, e-mails, presentations, and informal telephone contacts. In designing these media and styles, we always follow the established chain-of-command and reporting relationships prescribed by our clients.

5.1.2.3 PROJECT KICKOFF

A FORMAL KICKOFF MEETING COMMUNICATES PROJECT GOALS AND OBJECTIVES TO ALL PARTICIPANTS.

MAXIMUS recommends a formal kick-off meeting be conducted to bring together our project personnel and those from the Division and participating local agencies. This meeting is intended to communicate the project goals and objectives to the project participants, establish working relationships among the team members, gain commitment from each project participant, discuss and present the Project Work Plan and task assignments, and gauge the expectations of various agencies and participants.

The MAXIMUS Project Team works with the Division, the designated local agencies, and other involved agencies to establish a relationship based on trust. Our key to effective interaction with the Project Team of the Division and participating local agencies is to establish and build upon our rapport with each team member so that there are no surprises.

5.1.3 PROJECT PLANNING

The purpose of the Project Planning process is to build upon the approved Project Work Plan from the Project Initiation process by establishing additional plans and procedures including:

- issues and risk tracking,
- change control management,
- quality assurance, and
- acceptance criteria.

The major activities within the Project Planning process are described in the sections to follow.

5.1.3.1 ISSUES AND RISK TRACKING

Each project is a unique undertaking. It is by definition a set of activities that have not been done before, and which are not repeated in the future. Issues are defined as matters that arise during the normal course of a project that may impact the project deliverables and which, if unresolved, can result in unmet objectives, delays, or cost overruns. Issues may often involve the resolution of perceived barriers to information exchange and may require a policy decision or significant

research to resolve. Risks involve the occurrence of an unwanted event, the probability of the occurrence of that event, and the measurement and containment of the impact of that event. The experience of the MAXIMUS Project Team in integrated justice system planning, design, and implementation; their expertise in managing and resolving issues; and the team's experience in implementing an effective risk management process minimizes the risk to the Division and ensures successful project delivery.

Issue Tracking Approach

To prevent issues from impeding progress, MAXIMUS, working with the Project Team of the Division and participating local agencies, creates and implements an effective and proven problem/issue management process. An effective issue management approach provides an issue documentation process, a visible decision-making process, a means for reaching consensus, and an audit trail. An effective issue management methodology also ensures that the right people have been consulted, and that they actively participate in developing resolution alternatives. The issue resolution procedure is documented by the MAXIMUS Project Team and approved by the Division Project Coordinator.

Risk Management Methodology

MAXIMUS implements a comprehensive risk management process for every project we manage. This process focuses on risk identification, development and execution of mitigation activities, contingency planning, monitoring risk occurrence, and immediate execution of contingency plans upon the occurrence of a risk. It is based upon the risk analysis standards described in IEEE 1074, published by the Institute of Electrical and Electronic Engineers (IEEE).

MAXIMUS works with the Project Team of the Division and participating local agencies to identify risk areas and develop a risk management plan according to the steps identified in *Exhibit 5-2: Risk Management Methodology*.

1. Identify key risk	Interviews are conducted with the Division Project Coordinator and key project staff and user representatives to further identify and prioritize the important risk factors associated with the Indiana CMS Project.
2. Specify the business impact of each identified risk	Urgency and risk must be associated with the prospective damage that can result from the occurrence of a risk. Documenting and quantifying the impact of a potential event provides decision-makers with the information needed to set priorities.
3. Specify an associated mitigation strategy for each identified risk	A mitigation strategy specifies a technique or plan to relieve or lessen a given risk. Agreement on the recommended mitigation activities included in this proposal must be reached, as well as development of further activities, if necessary.
4. Specify the "early warning symptoms" of each identified risk	An Early Warning Symptom is a specific and measurable event or series of events that serves as an indicator that the occurrence of a given risk is imminent.
5. Specify contingency plans and immediate action steps for each identified risk	A contingency plan is a plan for recovery or an alternate way to function in the event that, in spite of all mitigation efforts, the identified risk actually happens. Immediate action steps are activities that can be done NOW to either prepare for the execution of a contingency, or to prevent the necessity of the contingency.
6. Establish monitoring mechanisms for each early warning symptom	Monitoring mechanisms are specific activities set up to quickly detect early warning symptoms and provide needed alerts.
7. Continually monitor the project for new issues or risks	The MAXIMUS Project Manager and the Division Project Coordinator are not solely responsible for identifying new issues or risks. All project staff has an awareness of various circumstances that allows them to recognize risks and communicate them immediately to the Division Project Coordinator or MAXIMUS Project Manager.
8. Continually monitor the project for the early warning symptoms using the appropriate monitoring mechanism	The monitoring mechanisms that were established must be regularly used. MAXIMUS considers the change control process to be a monitoring mechanism. The change control process must examine the impact of requested changes and make prudent decisions about their implementation.
9. Implement contingency plans for risks that have occurred	As soon as an early warning symptom occurs, the MAXIMUS Project Manager and the Division Project Coordinator must implement the contingency plan. There can be no "wait and see if it will work itself out" attitude.
10. Implement risk mitigation strategies to alleviate the probability that a risk will occur	The risk mitigation strategies must be incorporated into the project management plan and must be executed by the appropriate project staff.
11. Perform continual risk assessment	As the project progresses, the MAXIMUS Project Manager, in coordination with the Division Project Coordinator, will continually assess the probability that an identified risk will occur. This assessment process includes the development of appropriate risk mitigation actions as well as contingency plans.

Exhibit 5-2: Risk Management Methodology **outlines the risk management plan.**

MAXIMUS tracks all issues and risks through our MIRTS, which is a Microsoft Access database that tracks information including, but not limited to the following:

- description of the issue, problem, or risk;
- project contact information;
- priority, type, and status;
- impacts to the project (cost/schedule/other);
- personnel assigned to resolve the issue;
- history of actions taken to resolve the issue or mitigate the risk; and
- completion data.

5.1.3.2 CHANGE CONTROL MANAGEMENT

THE MAXIMUS TECHNICAL PROJECT MANAGER ENSURES THAT ALL PROJECT PARTICIPANTS AGREE AND UNDERSTAND THE SCOPE OF THE PROJECT.

Project scope control and the resulting change control management processes for the identification and management of out-of-scope issues can present challenges for any project. Scope creep, once started, is very difficult to stop. All project participants agree and understand which documents define the project scope. However, once that scope is challenged, the resulting discussions can lead to disagreements and dissatisfaction. Many of these issues have a ripple effect on the entire project that typically does not surface during the initial examination of the issue. It is this ripple effect that usually results in unexpected impacts, delays, and costs. Project scope procedures deal with the issues submitted by an interested party during the project. There are two key components of scope control:

- determining if an issue is out-of-scope and gaining consensus on this decision, and
- deciding what to do with the out-of-scope issue.

Baselining is the key requirement for scope control. The baseline, or initial agreement on the scope of the project, provides the starting point for all scope control issues. The Project Planning phase identifies the baseline to be defined based upon the contractual documents such as the RFP, the MAXIMUS proposal, and the contract. Issues concerning project scope are reviewed by the MAXIMUS Project Manager and the Division Project Coordinator to arrive at a consensus as to whether the issue is in or out of scope. If a decision cannot be reached at this level, the issue must be escalated to the MAXIMUS Project Director and a corresponding Division Management individual. If the issue is determined to be within scope, the MAXIMUS Project Manager and the Division Project Coordinator must revise the Project Work Plan to accomplish the necessary changes.

Change control procedures deal with out-of-scope issues. Once a consensus identifying the issue as out-of-scope is gained, the MAXIMUS Project Manager and the Division Project Coordinator must determine impact of the issue, document the impact using the MIRTS, schedule or defer resolution of the scope change, and revise necessary project documentation to address the issue resolution. If the decision is made to expand the baseline scope of the project to include an out-of-scope issue, the appropriate project contractual documentation must be updated, as well as the baseline scope definition.

5.1.3.3 QUALITY ASSURANCE

AT MAXIMUS, WE BELIEVE THAT QUALITY MUST BE BUILT IN TO EVERY PROCESS, EVERY PHASE, AND EVERY TASK THAT IS A PART OF THE PROJECT.

Quality, as it relates to the Indiana CMS Project, is ultimately determined by your satisfaction with the system and your perception of its value. Quality is much more than simply conformance to specifications. A flawlessly designed, defect-free application that does not meet the needs and expectations of the Division cannot be considered high quality. A high quality system is one that conforms to your specific business/functional requirements and technical specifications and, at the same time, meets your expectations.

The Division requires a firm that takes project Quality Assurance (QA) very seriously. Many organizations view QA as simply the review and inspection of project deliverables, often with an auditor's attitude of assigning blame. At MAXIMUS, we believe that quality must be built in to every process, every phase, and every task that is part of every project. MAXIMUS employs a QA methodology that reflects lessons learned from previous projects in order to enhance current and future project services and deliverables. We have built a reputation for effective project planning, management, quality service, and product delivery based on hundreds of projects completed over the past 25 years.

Quality begins in the Indiana CMS Project planning activities and continues throughout the duration of the project. MAXIMUS focuses on quality throughout the project through the use of a Project Quality Assurance Plan (QAP). The basic purposes of a QAP, beyond the obvious, are avoiding ugly surprises, being continually aware of our progress, and ensuring that the Indiana CMS Project deliverables are of the highest quality and meet your expectations and requirements upon their initial delivery, rather than requiring major revisions and rework.

MAXIMUS constructs the QAP during the Project Planning process. It provides a solid framework for all QA activities throughout the project. The QAP defines and/or develops a process by which quality is defined, monitored, controlled, and measured for:

- the project schedule;
- all report-type deliverables such as design specifications, and training plans;
- training;
- software application; and
- the technical infrastructure.

The QAP also establishes the deliverable review procedures. For each deliverable, the procedure describes the flow of the review process, the responsibilities of staff involved, the criteria for acceptance of each deliverable, and the timeframes for deliverable review. This information is added to the QAP within the first ten days of the major task in which a deliverable is produced.

The MAXIMUS Project Manager submits a draft of the QAP to the Division Project Coordinator and Project Team for approval. Any problems or issues identified during the review of the QAP must be documented by the Division Project Team. A meeting is held between the MAXIMUS Project Manager and the Division Project Coordinator to review and resolve all problems. The MAXIMUS Project Manager is responsible for updating the QAP to reflect the agreed-upon corrections.

MAXIMUS tailors our QA methodology to the needs of each of our clients and the specifics of each project. Our methodologies are flexible to allow for the incorporation of industry standards, such as those published by the IEEE (IEEE 1012-1986 and 1074-1995), the International Organization for Standardization (ISO), the Software Engineering Institute (SEI), the Capability Maturity Model (CMM), and proprietary standards established by individual governmental agencies. MAXIMUS staff has a relationship with both the American Society for Quality (ASQ) and the federally-funded SEI. As a subscriber to the SEI, MAXIMUS makes use of the papers published by this organization to enhance our knowledge and skills in the practice of software engineering. We apply these insights to our clients' projects.

5.1.3.4 ACCEPTANCE CRITERIA

OUR QUALITY ASSURANCE APPROACH MINIMIZES DELIVERABLE PROBLEMS BY PROVIDING A CLEAR SET OF ACCEPTANCE CRITERIA FOR EVALUATION OF ALL DELIVERABLES.

The MAXIMUS QA approach is designed to minimize deliverable problems by providing all personnel involved in developing the deliverable with a clear set of acceptance criteria against which deliverables will be evaluated. For report-type deliverables MAXIMUS develops formats or an annotated table of contents. MAXIMUS also identifies and documents acceptance criteria for each deliverable. These deliverable descriptions and acceptance criteria are added to the QAP and presented to the

Division Project Coordinator for review and approval within the first ten days of the major task in which the deliverable is produced.

5.1.4 PROJECT EXECUTION

The purpose of the Project Execution process is to carry out the plans that were created and approved in the Project Initiation and Project Planning processes. The Project Execution process contains the following major activities:

- managing the project according to the Project Work Plan,
- reporting status and communicating effectively to all project participants,
- monitoring and resolving issues and risks, and
- maintaining all project administration requirements.

QA procedures are also performed during the Project Execution phase of the Indiana CMS Project.

5.1.4.1 MANAGE PROJECT ACCORDING TO PROJECT WORK PLAN

Our basic approach is to plan the events of the progress period, even to the point of daily planning to the extent practical, and then to proactively follow up on the previous plans to ensure completion. Projects are conducted one day at a time. Our job is to ensure that each day and progress period moves us closer to delivery of the overall product of the project, not simply closer to the project completion date. We hold regular internal project management meetings to plan current period activities, assess prior period accomplishments, resolve issues, and schedule short- and long-term resources. The basis and agenda for the meeting is the Project Work Plan, prior period activity list, open issues log, and change order request log. The objective of the meeting is to ensure that the current period activities are focused upon the completing work plan tasks, identifying and resolving any roadblocks, and assessing prior period progress.

5.1.4.2 REPORT STATUS AND COMMUNICATE EFFECTIVELY TO PROJECT PARTICIPANTS

Throughout the project the MAXIMUS Project Manager, the Division Project Coordinator and other participating and interested parties hold bi-weekly status meetings. Minutes are recorded at these status meetings. We submit formal, bi-weekly project status reports that:

- include an analysis of planned versus actual progress for all project activities;
- identify tasks completed, planned for the next period, and in progress;
- provide an issue /risk report with problem descriptions, recommended solutions, risk probability, and risk mitigation activities;
- identify project schedule adjustments, if necessary; and
- provide other information as appropriate.

MAXIMUS measures and reports progress against the revised Project Work Plan that has been approved and accepted by the Division Project Coordinator.

During the project, if issues arise, the MAXIMUS Project Manager communicates these problems to the Division Project Coordinator prior to publishing a progress report. MAXIMUS does not "surprise" project participants with published problems or issues without previous discussions. MAXIMUS accompanies those discussions with recommendations for correction or resolution.

Throughout the project, the MAXIMUS Project Manager and the Division Project Coordinator are expected to share status information and project progress through informal, typically unscheduled, but frequent, verbal status reports. This type of reporting is common in MAXIMUS projects and establishes an environment that enables all project participants to cooperatively exchange information and resolve problems.

5.1.4.3 MONITOR AND RESOLVE ISSUES AND RISKS

THE MAXIMUS ISSUE AND RISK MANAGEMENT METHODOLOGIES ARE PROVEN METHODS AND ARE FULLY DEFINED IN THE PROJECT PLANNING PROCESS.

Risk and issue management is a repetitive process that occurs continually throughout the life of a project. All team members are responsible for resolving issues, monitoring the project for the early warning signs of a risk, and for identifying new issues and risks as the project progresses and environmental conditions change. The MAXIMUS issue and risk management methodologies are proven methods. Both the issue management and the risk management processes were defined in the Project Planning process. The Project Execution process is the point in the project at which the execution of these processes becomes critical.

All issues are documented in MIRTS and assigned to appropriate Project Team members for review, assessment, and action as appropriate. All Project Team members are responsible for issue identification, review, assessment, and actions. The MAXIMUS Project Manager and the Division Project Coordinator review each issue to make appropriate assignments. Issue resolution involves research, identification of

alternative solutions, creation of recommendations, documentation of the rationale for the recommendation, identification of the impact of the issue, communication with appropriate Project Team members, and consensus building for the issue resolution. Issue resolution is recorded in the MIRTS.

Each written project status report contains an updated issues/risk log that identifies issues resolved during the reporting period, issues/risks that remain outstanding, the status of outstanding issues/risks, new issues/risks that have arisen, and recommended resolutions of these new issues and risks.

All project risks are documented using the MIRTS. Each of the methodology steps previously identified in *Exhibit 5-2: Risk Management Methodology* are used during Project Execution because new risks can be identified at any time and risks can occur at any time. For new risks, steps one through 11 must be executed. For risks that have been identified previously, steps seven through 11 must occur.

5.1.4.4 MAINTAIN PROJECT ADMINISTRATION REQUIREMENTS

Project administration activities are those aimed at maintaining current project documentation. MAXIMUS maintains a document library index that identifies the currently available documents and their most current versions. All project correspondence is recorded in a correspondence log with the date, purpose, and distribution list. The project web site, if appropriate, and the project library are maintained by the MAXIMUS Project Team as necessary.

5.1.5 PROJECT CONTROL

THE PROJECT CONTROL PROCESS IS USED TO MANAGE CHANGES AND MINIMIZE THEIR IMPACT THROUGHOUT THE IMPLEMENTATION OF THE CMS PROJECT.

The purpose of the Project Control process is to manage changes or variances to the Project Work Plan. Even the best-planned and managed projects can incur changes. The Project Control process is used to manage those changes and minimize their impact throughout the project and the project environment. The major activities within the Project Control process are the execution of effective change control management plan and budgetary project administration procedures.

5.1.5.1 EFFECTIVE CHANGE CONTROL MANAGEMENT PLAN

The key activities that must occur during the Project Control process include:

- timely identification of project issues;
- documentation of the issues in the MIRTS;
- review and assignment of the issue for resolution by the Division Project Coordinator and MAXIMUS Project Manager;
- consensus as to whether the issue is in or out of scope; and
- for out-of-scope issues, further work is done to:

    - determine impact of the issue,
    - document the impact of the issue in the MIRTS,
    - schedule resolution of the issue or defer resolution, and
    - revise necessary project documentation to address the issue resolution.

All project issues are reviewed at the regular status meetings and included within the project status reports. The MAXIMUS Project Manager also monitors the procedures to ensure that issues are resolved in a timely manner.

5.1.5.2 BUDGETARY PROJECT ADMINISTRATION PROCEDURES

Throughout the project, the MAXIMUS Project Manager is also responsible for maintaining project files containing budgetary information including invoices, personnel time, project expenditures, and budget forecasts.

5.1.6 PROJECT CLOSURE

PROJECT CLOSURE ACTIVITES SERVES TO ASSESS THE SATISFACTION OF THE DIVISION'S PROJECT TEAM AND OF THE PROJECT PARTICIPANTS.

The purpose of the Project Closure process is to evaluate the completed project. The major activity within the Project Control process is the Project Closure Review. This process is designed to assess the satisfaction of the Project Team of the Division and participating local agencies and that of other participants with the completed project and the procedures used to deliver it. MAXIMUS conducts a formal Project Review meeting with the Project Team of the division and participating local agencies, and with other key staff. The purpose of this meeting is to evaluate the process and procedures used in the project. The results of this meeting are documented and provided to the Division Project Coordinator.

5.1.7 PROJECT MANAGEMENT TECHNIQUES

The core processes described previously are supported by Project Management techniques that have evolved over 25 years of managing government projects.

- **Ready Access to the Project Director** is fundamental to our project approach. Availability and an active "hands-on" role are required of our Project Director.

- **Ready Access to Corporate Management** is available to the Division. Our corporate reporting structure is extremely flat, so that the highest levels of corporate management are never more that one phone call away.

- **Detailed Upfront Planning is Crucial to Project Success.** Emphasis is placed on this approach in our Project Work Plan. We subscribe to the axiom "Failing to plan (in minute detail) is planning to fail." The MAXIMUS Project Manager takes steps to ensure all Project Team members have a complete understanding of all the plans and schedules and uses the Project Work Plan as a baseline against which to report progress.

- **Timely Delivery of Products and Services** is essential to the Indiana CMS Project. We understand your requirements to have the system implemented throughout the state. By following our Project Work Plan; utilizing our methodologies and processes; and using our knowledge and experience gained in previous projects; the Division can be assured that the Indiana CMS Project is successfully delivered on time.

- **High Quality Products and Services** are a core MAXIMUS value and are integral to our performance expectations. We pride ourselves on making quality an integral part of the solution through our QA processes.

- **Effective Budgeting and Cost Control** is essential to our project management philosophy. Up front planning, regular monitoring, and status reporting are essential to our success.

- **Flexibility in Making Mid-Course Changes** is key to the success of the Indiana CMS Project. We understand that issues and changes to project scope may arise during the course of this project. Our approach is to monitor and mitigate risks and, through open communication and bi-weekly status reporting, keeping Division management well informed.

- **Quality and Continuity of Staff** is important to the success of the project. The MAXIMUS Team Members in our proposal are the professionals who are on-site, working with Division personnel. Any changes or substitutions require the approval of Division Management.

- **Responsiveness to Client Concerns** emphasizes direct client involvement. This methodology enhances issue awareness, listens to each other's concerns, and promotes information sharing in an environment of mutual respect.

5.1.8 QUALITY ASSURANCE

MAXIMUS takes QA on our projects very seriously. We believe that quality must be "built in" to every process, phase, and task of every project. MAXIMUS employs a QA methodology that reflects lessons learned from previous projects in order to enhance current and future project services and deliverables. We have built a reputation for effective project planning, management, and quality service and product delivery.

Exhibit 5-3: MAXIMUS Quality Approach, illustrates the components of the QA process that we apply to each MAXIMUS deliverable of the Indiana CMS Project. MAXIMUS uses "prevention-oriented" rather than "review and inspection" QA activities. Our approach is structured to meet your expectations and requirements upon initial provision of each deliverable, rather than requiring major revisions and rework.

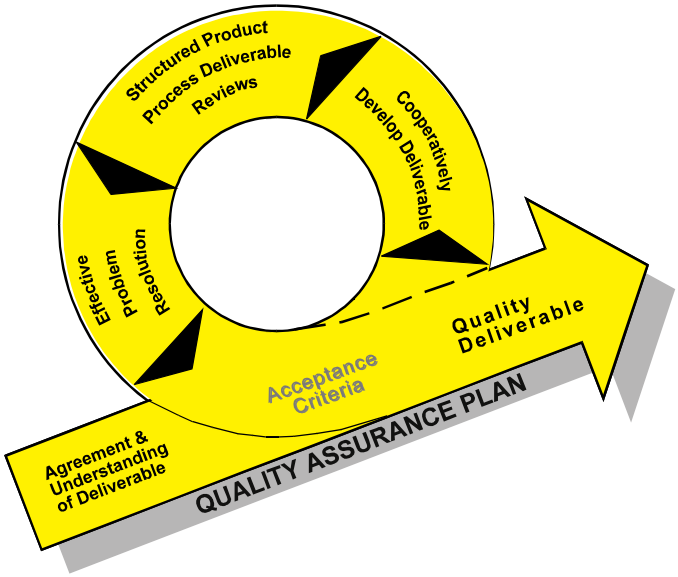


***Exhibit 5-3: MAXIMUS Quality Approach* illustrates the components of the QA process that we apply to each MAXIMUS deliverable.**

Exhibit 5-3: MAXIMUS Quality Approach, identifies the components of the QA process that we apply to each MAXIMUS deliverable for the Indiana CMS Project:

- agreement and understanding of deliverable;
- acceptance criteria;
- cooperative development of the product or deliverable;
- structured product, process, testing, and deliverable review; and
- effective problem resolution.

During the Project Execution Process, MAXIMUS executes QA processes that are specific to each product and deliverable. The MAXIMUS Project Director, Ms. Linda Ruff, is responsible for the overall quality of deliverables produced by the MAXIMUS Project Team. It is our policy that each deliverable is reviewed for its content/function against its requirements/specifications and acceptance criteria by both the Project Manager and the Project Director before release to Division Project participants. We establish interim milestones to review the progress of the deliverable. This approach provides the Division Project Team with "value added" insights into the progress of each deliverable and ensures that there are no surprises in our final deliverable.

5.1.9 AGREEMENT AND UNDERSTANDING OF DELIVERABLES

THE PURPOSE AND OBJECTIVES OF THE DELIVERABLES ARE UNDERSTOOD UPFRONT IN A QUALITY ASSURANCE REVIEW PROCESS.

Our QA reviews focus on an up-front understanding of the deliverable requirements, the Division standards, strategies and methodologies to be met, and most importantly, the purpose and objective of the deliverable. We prepare and obtain our client agreement on a table of contents and/or template and acceptance criteria prior to beginning work on report-type deliverables. MAXIMUS uses several components to construct the outline for a report-type deliverable:

- the business and technical requirements referenced by PNCO (what is this?);
- requirements, specifications, and other criteria contained in previously approved deliverables for the Indiana CMS project;
- our integrated justice experience and project methodology; and
- expectations of the Division and participating local agencies.

The MAXIMUS Project Manager uses the approved Table of Contents/template to assign work to the MAXIMUS Project Team members; prepare interim deliverables for review; and manage the transition and interrelationships among the various document sections.

5.1.10 COOPERATIVELY DEVELOP PRODUCT OR DELIVERABLE

One of the fundamental tenets of our project methodology is the process of working hand-in-hand with our clients. This approach is based upon MAXIMUS definition of quality: a quality product or deliverable is one that conforms to Division requirements and, most importantly, meets and/or exceeds your expectations.

MAXIMUS takes full responsibility for the Indiana CMS Project deliverables.

5.1.11 STRUCTURED PRODUCT, PROCESS, AND REPORT-TYPE DELIVERABLE REVIEWS

DELIVERABLES ARE PRESENTED TO THE DIVISION IN SMALL, MANAGEABLE COMPONENTS EARLY ON IN THE PROCESS.

MAXIMUS avoids the review and approval approach to report-type deliverables often used by many firms. This approach buries the client in paper, with short review deadlines that can severely impact the quality of the deliverable as well as the project schedule. We do not wait until the deliverable is complete and then ask the Division or participating local agencies to review a large, information-dense document hoping that the review will be less comprehensive because of the sheer volume. This practice is not acceptable.

Our approach sets initial expectations and then reviews the deliverable in small, manageable components as early as possible in the process. The MAXIMUS deliverable review process is iterative in nature; which is to say that when the Division Project Team receives a deliverable for review and approval, the team members should not be seeing the deliverable for the first time. Rather, the Division Project Team members and the MAXIMUS Project Team members have worked closely during development and interim reviews of the deliverable.

The formal submission of a deliverable begins the Division's official deliverable review period. The deliverable is submitted by MAXIMUS in accordance with the approved Project Work Plan with a written request for approval. The Division and participating agencies must complete the review and approval or disapproval of the deliverable according to the Project Work Plan. Both approval and disapproval of the deliverable must be received in written correspondence from the Division Project Coordinator. The reasons for disapproval of the deliverable must be documented specifically as issues and problems to be resolved.

5.1.12 EFFECTIVE PROBLEM RESOLUTION

THE MAXIMUS PROJECT MANAGER IS RESPONSIBLE FOR REVIEWING, CORRECTING AND RESOLVING EACH PROBLEM.

Any problems or issues identified during the review of a report-type deliverable must be documented. For reviews conducted by the Division and participating local agency project team, a meeting is held with the reviewers, the MAXIMUS Project Manager, and the project team member(s) responsible for producing the deliverable. Prior to this meeting, the Division Project Coordinator must provide MAXIMUS with a written list of issues and problems that have been resolved for inconsistencies and conflicting statements. The meeting is then held to review each problem, discuss solutions or alternatives, and provide insight as to the impact of the issue or problem.

The MAXIMUS Project Manager is responsible for reviewing, correcting, and resolving each problem. The MAXIMUS Project Manager assigns each problem to the appropriate MAXIMUS team member with the solution, recommendation, alternatives, or instructions for pursuing further research. A completion date is also set. The MAXIMUS Project Manager monitors the progress of the problem's resolution and is responsible for resolving issues that arise during this process. This process may require further discussion of the preliminary findings by the Project Team(s). Informal meetings may be required with other project team members to resolve the problem. Once all problems have been resolved according to the assigned completion dates, the MAXIMUS Project Director is responsible for performing a quality review prior to releasing the final version to the Division and participating agencies.

MAXIMUS use this problem resolution process in all of our projects. It works because it requires that the proper attention and focus be placed upon problem resolution in a timely manner and because our clients remain involved in the process.

5.1.13 TRAINING DELIVERABLES

The QA processes associated with the Indiana CMS Project training related deliverables are of two types:

- processes associated with the development and delivery of the Indiana CMS Project training plan, and

5.2 AN EFFECTIVENESS EVALUATION OF THE TRAINING COURSES PROJECT STAFFING

MAXIMUS recognizes the importance of this project to the Division. We know that selecting the proper candidates for all positions is critical to the successful and timely completion of this project. We have, therefore, selected candidates who possess all the skills and experience required for the positions, who understand and have implemented integrated criminal justice systems and data sharing approaches and architectures, and who are experienced and knowledgeable in hardware implementations, network architectures, systems planning and design, and user training. The MAXIMUS Project Team collectively offers the most effective combination of integrated justice systems expertise, as well as knowledge of how agencies in other states have effectively accomplished similar goals. Drawing on our considerable resources, both locally and nationwide, MAXIMUS offers a Project Team that brings to you the skills and resources necessary to make this project a success.

THE MAXIMUS PROJECT TEAM COLLECTIVELY OFFERS THE MOST EFFECTIVE COMBINATION OF INTEGRATED JUSTICE SYSTEMS EXPERTISE, AS WELL AS KNOWLEDGE OF HOW AGENCIES IN OTHER STATES HAVE EFFECTIVELY ACCOMPLISHED SIMILAR GOALS.

Exhibit 5-4: Indiana CMS Project Organization Table, illustrates the proposed project team MAXIMUS has selected for the Indiana CMS Project, and a brief description of their qualifications. This organization of the Project Team members achieves your objectives through a flexible and responsive team approach that emphasizes centralized control and decentralized execution. The team's effectiveness is further enhanced by the blending of experienced, capable personnel having in-depth experience in the development of implementation plans for integrated justice information systems initiatives at state and local government levels. Professional resumes of the Project Team are provided in *Appendix I.*

ASSIGNED STAFF	RESPONSIBILITIES
Linda Ruff **Project Director** *Ms. Ruff is experienced in integrated justice architectures, systems planning, design and implementation. In addition, she has 23 years of experience in project management, needs analysis and requirements definition, strategic technology planning, contractor procurement and evaluation, software development, and telecommunications design and implementation.*	❑ Ultimately responsible for the successful implementation of the Indiana CMS Project. ❑ Cultivates the partnership between the Division and MAXIMUS by focusing on mutual long-range goals. ❑ Coordinates the availability and allocation of all necessary Corporate and Systems Group resources necessary for the project's success. ❑ Works closely with the Project Manager to provide support and advice. ❑ Provides guidance to the Project Team, interacts with committee members. ❑ Final responsibility for the quality of all project deliverables

ASSIGNED STAFF	RESPONSIBILITIES
Patrick VanderVeen **Technical Project Manager** *Mr. VanderVeen is experienced in analysis, design, development and management of information systems in the public sector. His specific experience includes 23 years in project management, strategic planning, systems analysis, computer programming, and joint analysis and design.*	❑ Tracks all contract deliverables ❑ Produces program plans ❑ Tracks progress ❑ Tracks all contract charges ❑ Provides cost/schedule status reports ❑ Direct all of the project's day-to-day activities ❑ Acts as the primary liaison between the Division and MAXIMUS ❑ Provides guidance to the Project Team, interacts with committee members ❑ Informs senior management of progress concerning customer-defined objectives. ❑ Acts as a contributor to the development of all deliverables, excluding the development of the application software
Cynthia Bigley **Training Manager** *Ms. Bigley has over 25 years of experience in all facets of the systems development life cycle for the public and private sectors on mainframe, minicomputer, and client/server platforms. Her areas of expertise include training, system testing, requirements analysis, quality assurance monitoring, system conversion and migration, and project management of the software development lifecycle.*	❑ Responsible for development of the Training Plan ❑ Responsible for developing training schedules with the Division Project Team ❑ Responsible for developing training class guides for the Division Project Team ❑ Responsible for coordinating the MAXIMUS trainers to deliver user, operations, and system administration training

Exhibit 5-4: Indiana CMS Project Organization Table **defines the staff and their duties as a member of the implementation team.**

5.3 QUALIFICATIONS AND EXPERIENCE

To be successful, the contractor selected to execute the Indiana CMS Project for Division must not only have the organizational capacity and financial resources to support a contract of this scope, but also a comprehensive understanding of how to develop and support systems that customers need. MAXIMUS offers the Division more than 25 years of experience in government information technology, a reputation for business integrity, and a solid corporate infrastructure.

SECTION ORGANIZATION

The experience we have selected highlights are abilities in the following areas:

- managing large scale implementations;
- experience with CMS products;
- hardware and network connectivity implementations experience;
- training delivery experience, and
- project management experience.

5.3.1 NETWORK DESIGN AND DEVELOPMENT

MAXIMUS offers our clients extensive experience in planning for the telecommunications needs of new automation initiatives. Our staff is familiar with the latest technological advances in computer networks. MAXIMUS has worked in hardware and telecommunications infrastructure environments for large, complex systems development efforts for states and the federal government. We have also assisted state and federal agencies in procuring the most efficient and cost-effective equipment.

MAXIMUS staff is skilled in planning, designing, and implementing state-of-the-art network solutions. We have assisted states in developing both large and small networks and in addressing issues related to network design and network management. We are also skilled at including network specifications in information technology plans and RFPs.

CMS RELEVANCE

√ Network Design and Development
√ Project Management and Timeline Development

5.3.1.1 OHIO JUSTICE INFORMATION NETWORK (OJIN) DESIGN

The OJIN Network Design is based on four phases:

- Proof of Concept Prototype Phase,
- Phase I – OJIN Criminal Justice Agency and Data Expansion,
- Phase II – OJIN Inclusion of Non-Criminal Justice Agencies and Data, and
- Phase III – OJIN Portal Development.

The OJIN Implementation Plan incorporates Phases I through III into a four-year work plan designed to transform the OJIN from a prototype to a comprehensive portal for the exchange of criminal justice information that provides a variety of network based criminal justice information services.

5.3.1.2 PROOF-OF-CONCEPT PROTOTYPE

The OJIN Proof-of-Concept Prototype network logical design is based upon the existing LEADS backbone. It includes a subset of the current Ohio criminal justice environment and agencies. *Exhibit 5-5: OJIN POCP Network Diagram*, illustrates the network environment that will be supported by the OJIN POCP. The shaded area indicates the only addition to the existing LEADS network, that of the OJIN server and the proxy server for Stark County.

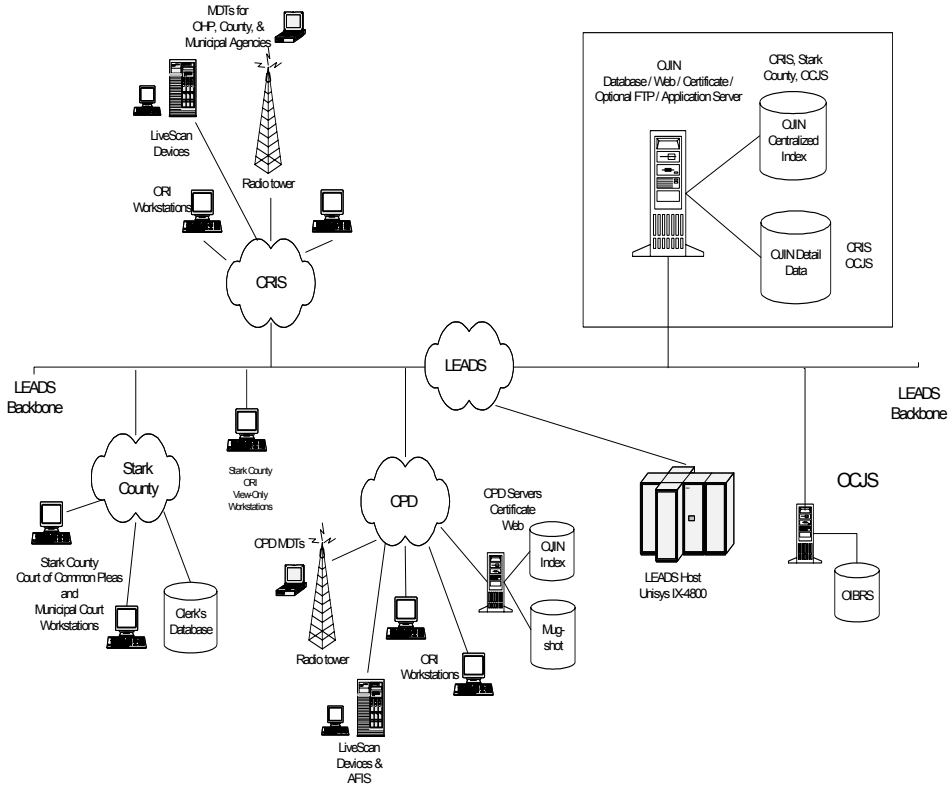


Exhibit 5-5: OJIN POCP Network Diagram **illustrates the network environment that will be supported by the OJIN POCP.**

THE OJIN PROJECT IS MULTIFACETED, WITH MANY PARTICIPATING AGENCIES.

The following participating agencies are involved in the OJIN POCP:

- CRIS is a contributing agency that provides arrest data to OJIN and CRIS users have access to data provided by the other three contributing agencies;
- Stark County Court of Common Pleas and the Canton Municipal Court provide criminal court case data from the Clerks database, and these court users have access to data provided by the other three contributing agencies,
- CPD provides CPD mug shot system data to OJIN and CPD users have access to data provided by the other three contributing agencies, and
- OCJS provides OIBRS data to the OJIN.

The LEADS network currently supports the following types of transactions:

- LEADS transactions originated from ORI (Originating Agency Identifier) workstations, and
- IAFIS transactions from Live Scan workstations.

With the addition of the OJIN POCP, the LEADS network also transports:

- OJIN Detailed Query transactions that contain requests for and responses of detailed data among contributing agency workstations (subset of LEADS ORI and MDT devices, referred to as OJIN workstations), OJIN servers, and contributing agency servers;
- index maintenance transactions from contributing agencies (CRIS, Stark County) to OJIN; and
- detailed data maintenance transactions from CRIS and OCJS.

The POCP will not add any new ORI workstations to the LEADS network. OJIN POCP workstations are any authorized LEADS or a CRIS or CPD workstation that is connected to LEADS through existing regional networks. The OJIN environment uses TCP/IP communications protocol over the LEADS frame relay network connecting via the existing routers at the Department of Public Safety.

The routers that currently handle ORI traffic between LEADS and the various ORI workstations or regional extranets are re-configured to route LEADS traffic to LEADS servers and OJIN traffic to the OJIN server.

A proxy server is installed at the Stark County Sheriff's location to route OJIN transactions and traffic between OJIN and the Stark County courts extranet across the LEADS network.

5.3.1.3 ASSUMPTIONS

THE OJIN PROJECT INCLUDES SEPARATES PHASES, TO CONNECT ADDITIONAL JUSTICE AGENCIES TO THE NETWORK.

The following assumptions were made in order to define the POCP network environment.

- The CRIS, CPD, and Stark County court extranets are trusted, secure networks.
- OJIN acts as its own certificate authority, meaning third party certificate authorities are not utilized.
- CPD returns data from an OJIN Index query according to the pre-defined OJIN XML Index format. CPD responds to OJIN Detailed Queries with their own HTML page.

If these assumptions change, the network logical design must be updated to accommodate the change.

For Phase I the OJIN network is extended to include additional contributing or non-contributing criminal justice agencies. Workstations owned by criminal justice agencies are also included in the OJIN environment. OJIN Phase I supports the same types of transactions as does the POCP. All OJIN devices continue to communicate using TCP/IP.

For Phase II the OJIN network is extended to include additional contributing or non-contributing non-criminal justice agencies and users based upon approval of the OJIN governance structure and adherence to the Ohio Revised Code regarding criminal justice data access. Extension of the OJIN in this manner requires considerable network changes in terms of firewalls, Demilitarized Zones (DMZs), and the LEADS network

itself. *Exhibit* 5-6*: OJIN POCP to Phase II Network Comparison,* summarizes the network differences in the three phases.

POCP	Phase I	Phase II
OCJS CRIS CPD Stark County	Any Criminal Justice Agency	Any Agency authorized by the OJIN Governance Structure and allowed by the Ohio Revised Code to access criminal justice data
Any workstation owned by LEADS which conforms to the minimum configuration specified in *Section F*	Any workstation owned by a criminal justice agency which conforms to the minimum configuration specified in *Section F*	Any workstation owned by an agency authorized by the OJIN Governance Structure and in conformance with the Ohio Revised Code regarding access to criminal justice data which conforms to the minimum configuration specified in *Section F*
CRIS CPD	Any Extranet owned by a criminal justice agency (agencies with authorized ORI workstations and users)	Any network belonging to any entity authorized to access the OJIN
Routers are configured to appropriately route LEADS and OJIN traffic	Routers are re-configured to route OJIN traffic between additional Phase I Extranets/ workstations and OJIN servers	Routers are configured to appropriately route LEADS and OJIN traffic
None Required	None Required	Two firewalls and a DMZ are required for each Internet Service Provider (ISP) point-of-presence needed for access by an authorized and approved agency.
TCP/IP	TCP/IP	TCP/IP
CPD Server(s): ▪ Web, ▪ Application, ▪ Database, ▪ FTP (optional), and ▪ Certificate. **Stark County Server(s):** ▪ Web, ▪ Application, ▪ FTP (optional), and ▪ Database. **OJIN Server(s):** ▪ Web, ▪ Application, ▪ Database, ▪ FTP (optional), and ▪ Certificate.	Additional contributing Criminal Justice Agency Servers beyond those specified for the POCP must provide the following servers: ▪ Web, ▪ Application, ▪ Database, ▪ FTP, and ▪ Certificate.	OJIN Servers in addition to those types specified for Phase I, which may include: ▪ Web Clusters (groupings of web servers) ▪ Server clusters (groups of application and/or database/FTP servers), ▪ Secure Database server, and ▪ Secure Server clusters.

Exhibit 5-6: OJIN POCP to Phase II Network Comparison **summarizes the network differences in the three phases.**

5.3.1.4 STATE OF DELAWARE DEPARTMENT OF LABOR VIRTUAL CAREER NETWORK (VCNET)

CMS RELEVANCE

- √ **Network Design and Development**
- √ **Software Design and Development**
- √ **Training**
- √ **Project Management and Timeline Development**

The Virtual Career Network (VCNet*)* is a "virtual community" using the latest Client-Server and Internet technologies. VCNet was designed with service integration always in mind. As a result, the system fully implements the Workforce Investment Act (WIA) in the State of Delaware. VCNet establishes a one-stop delivery network that allows a wide variety of partners to provide first class workforce development services to both employers and citizens of Delaware. VCNet encourages the eventual goal of client self-reliance by allowing clients to choose the level of assistance they require while the Department of Labor staff monitor their progress.

The Delaware Department of Labor has contracted with MAXIMUS on this project since 1997. We developed the application architectures for both the Internet and Network versions of the VCNet using object-oriented analysis and design tools and techniques. These architectures were developed over a five-month period through a series of workshops, facilitated and managed by MAXIMUS, which were designed to both meet the requirements of users and user management while reengineering work processes to take advantage of the new technologies.

MAXIMUS was also responsible for the overall management of the analysis, design, and development of the VCNet. MAXIMUS used a rapid design and development process that makes extensive use of project teams, facilitated workshops, and system prototypes. Using the component priorities from the system architecture, logical sub-systems are constructed for development. Under MAXIMUS direction, each sub-system was transformed from a prototype into the final working system through three iterative refinements (and two development workshops).

5.3.2 SOFTWARE DESIGN AND DEVELOPMENT

CMS RELEVANCE

√ **Network Design and Development**
√ **Software Design and Development**
√ **Project Management and Timeline Development**

MAXIMUS continuously plans and revises the corrections, criminal justice, and court management software products offered by the Justice Solutions Division to incorporate functional enhancements and new technology to meet the business requirements of our clients. This software product development lifecycle and integration into our clients' environment provides much of our software design and development experience. We also have experience in custom development software processes and delivery. This section describes our software design and development experience in both product and custom development areas.

5.3.2.1 EXPERIENCE AND QUALIFICATIONS

MAXIMUS has a distinguished history of working successfully with state and local government agencies. More importantly, MAXIMUS also offers extensive recent experience in the area of software design and development in multiple disciplines including both criminal justice and integrated justice. To follow are selected current and recent projects that demonstrate our experience in software design and development

5.3.2.2 COURTVIEW PRODUCT INSTALLATIONS AND CUSTOMIZATION PROJECTS

The following projects demonstrate MAXIMUS ability to expand and adapt our CourtView product for a wide variety of sites and functionality.

Manatee County, Florida

CMS RELEVANCE

√ **Software Design and Development**
√ **Hardware Acquisition and Installation**
√ **Training**
√ **Project Management and Timeline Development**

Manatee County in Florida is currently using CourtView, the Traffic Citation and Accounting System (TCATS), as well as the Civil, Probate, Criminal, and Juvenile functionality. This client has also deployed web-based public access. The Justice Solutions Division has successfully completed many modifications for Manatee County and we are using this client reference to illustrate the team's ability to successfully perform design and development work.

CourtView was integrated to work with CSI's TrakMan product and was integrated into CourtView, which was implemented in Manatee County, Florida. This integration will be expanded to allow direct access to the evidence tracking module from CourtView and to case tracking information in TrakMan.

CourtView has been enhanced to support civil case processing in Florida. Manatee County and Alachua County, Florida, as well as several smaller counties, are currently using CourtView in production for civil case processing. All Florida civil case types are in production. The solution includes Supreme Court reporting, Pending Caseload reporting, Civil Counts tracking and lack of prosecution processing.

Traffic citation processing for the State of Florida was developed by the Justice Solutions Division under subcontract to Unisys Corporation as part of the TCATS Project. The TCATS Project was funded by the Florida State Legislature and administered by the Florida Association of Clerks and Comptrollers. The specifications for traffic citation processing were established in a series of design meetings with representatives from several counties. After acceptance testing, traffic citation processing was successfully implemented in Manatee County and Baker County as a beta test.

CourtView has been enhanced to include Criminal Module, Offender Based Tracking System (OBTS) functional requirements for Manatee and Escambia County, Florida. We recently completed a successful implementation of paperless criminal processing including electronic filing and extensive data sharing between Clerk, Court, State Attorney, Public Defender, and Probation departments.

CourtView Web-based Public Access and Document Imaging

CMS RELEVANCE

- √ **Software Design and Development**
- √ **Hardware Acquisition and Installation**
- √ **Training**
- √ **Project Management and Timeline Development**

For over a decade, the people of Butler County, Ohio have been able to rely upon the Clerk of Courts office for access to the computerized records of the Court of Common Pleas. CourtView has allowed the Butler County Clerk of Courts to publish court filings, as well as scanned images, on the Internet at www.butlercountyclerk.org.

The public has come to expect that government agencies provide citizens with the same level of services that private industry does. The latest improvement to the MAXIMUS CourtView system is the upgrade to a web-based access module. This integrated, free Internet access to the clerk's computerized records also presents, for the first time, instant viewing of scanned images of vital records such as court orders.

The CourtView Internet access also offers local and state systems connectivity that was previously unavailable. This model will support the virtual regional and metropolitan Internet-based networking models currently in the planning stage by Ohio's top criminal justice agencies. In addition, this foundation offers prospects for the future implementation of secured extranets, e-filings, and public-private technology collaboration.

The future holds many exciting possibilities for improvement in the way government provides service.

Cuyahoga County CourtView

CMS RELEVANCE

√ **Software Design and Development**
√ **Hardware Acquisition and Installation**
√ **Training**
√ **Project Management and Timeline Development**

Cuyahoga County, Ohio went live with the CourtView windows-based project on May 1, 1998. This installation is operating on an Alpha NT database server, using an NT application server supporting 92 active users. The integrated solution includes bookkeeping, case management, judicial management, and forms generation. The project included re-engineering of the workflow to determine the necessary shifts in current personnel due to the introduction of the new technology. Cuyahoga County Probate Court is the largest Probate Court in the State of Ohio.

Franklin County Municipal Court

CMS RELEVANCE

√ **Software Design and Development**
√ **Hardware Acquisition and Installation**
√ **Training**
√ **Project Management and Timeline Development**

The Franklin County Municipal Court is the largest court in the State of Ohio in terms of case volume. All divisions were automated in this Project, including criminal, civil, small claims, landlord tenant, guardianship, and traffic. The project includes all modules of the Court Case Management System: Judicial, Case, Financial, Accounts Receivable, and the Probation Modules, with remote connection to numerous arresting agencies. The connection of all the remote users was accomplished with the Web-Based Public Access Module of CourtView.

The court has over 300 active users with over 1,000 county/city agencies and general public users accessing the system via the Internet using the Web-based Public Access module. The Public Access Module is currently averaging between 1,000 to 2,000 hits per hour to its web site. An interface to the police system provides batch updating of warrant information in a bi-directional fashion. The Web-Based Public Access module has eliminated phone calls and traffic to Court offices, as the information is available to agency staff, officers, attorneys, and the general public. Franklin County has an ongoing application software agreement that includes mandated legislative law changes and free enhancements.

5.3.2.3 CUSTOM JUSTICE SOFTWARE DEVELOPMENT PROJECTS

CMS RELEVANCE

√ **Software Design and Development**
√ **Hardware Acquisition and Installation**
√ **Training**
√ **Project Management and Timeline Development**

The following projects represent custom software development engagements.

Northwest Ohio Regional Information System

The Justice Solutions Division recently finished a project to develop a Criminal Justice Information System for Lucas County, Ohio together with the City of Toledo and 17 surrounding municipalities. The project includes inmate management modules to support the county jail and regional prison, records management modules for police departments, and case management modules for the municipal court. The project is managed by NORIS which is a component of the Criminal Justice Coordinating Council (CJCC). The NORIS Project provides Records Management, NIBRS reporting, Jail Management, Warrants, and all Court applications to support the Toledo Police Department, Lucas County Sheriff, Toledo Municipal Court, Clerk's Division, Judge's Division and other justice agencies.

Delaware Family and Child Tracking System (FACTS) Overview

CMS RELEVANCE

√ **Software Design and Development**
√ **Training**
√ **Project Management and Timeline Development**

MAXIMUS was awarded the Family and Child Tracking System (FACTS) project by the Delaware Department of Health and Human Services (DDHS) to develop a child welfare system that integrates child protective, juvenile justice, and children's mental health services. FACTS provides support for all client-service functions of the DDHS, from "outreach to outcome." The first phase provided complete automation of the protective services abuse hotline; investigation and risk assessment functions; automation of child care licensing; intake and assessment automation for youth rehabilitative services; a cost recovery sub-system that automates Medicaid billing, Emergency Assistance, and the collection of IV-E statistics for administrative cost reimbursement. Phase Two added support for adoption and foster care processing, residential placements, and service planning for the Division of Family Services; intake, assessment, and managed care processing.

The first FACTS phase provided complete automation of the protective services abuse hotline, investigation and risk assessment functions; automation of child care licensing; intake and assessment automation for youth rehabilitative services; and a cost recovery sub-system that automates Medicaid billing, Emergency Assistance, and the collection of IV-E statistics for administrative cost reimbursement.

The final phase doubled the Phase I functionality and provides support for all DDHS client-service functions, from "outreach to outcome" to the point where information technology is a tool pervading all aspects of work within the Department of Services for Children, Youth, and Their Families (DSCYF). This phase added support for adoption and foster care processing, residential placements, and service planning for the Division

of Family Services; intake, assessment, and managed care processing that supports service and Medicaid billing for the Division of Child Mental Health; and assessment, case planning, and residential treatment facility management for the Division of Youth Rehabilitative Services. In addition, a wide variety of case, client, contract, and provider management functions were developed to control the flow of work through the system. Today, FACTS provides automated support for over 540 individual tasks in the DDHS service delivery process.

Through the use of client-server technologies and a development approach built on business process reengineering and extensive user involvement, the DSCYF been able to improve client service by reducing paperwork, automating policy and procedure and integrating the delivery system within DDHS. Automation for real-time case tracking eliminates "cracks" in the service delivery process and reduces redundancy and fragmentation of services. This System also entails automating the rules for service delivery to ensure uniform response to similar problems. Providing system-wide information necessary for program planning and evaluation further contributes to service delivery quality.

5.3.2.4 OTHER SOFTWARE DESIGN AND IMPLEMENTATION EXPERIENCE

Below, we provide descriptions of three additional projects that demonstrate our experience designing and implementing software solutions.

CMS RELEVANCE

√ **Software Design and Development**
√ **Training**
√ **Project Management and Timeline Development**

State of Utah Medicaid Managed Care System

MAXIMUS was been retained by the State to develop a complete Medicaid Managed Care System (MMCS). This system encompasses all functionality involved in managing recipients and providers in the State's managed care initiative such as:

- enrollment, eligibility and related functions;
- capitation, premium processing and related financial functions,
- encounter data processing and EPSDT functions; and
- plan and provider network management.

As the base for the MMCS, MAXIMUS is using our proprietary MAXSTAR® system – developed to support our Medicaid enrollment projects in Texas, California, Michigan, New York, Vermont, Colorado, Montana, and Connecticut, and in our Children's Health Insurance Program projects in Michigan and Kansas. The business rules from the MAXSTAR are being reverse engineered into Oracle to form the baseline for the MMCS. The

resulting system will adhere to all applicable federal and State laws, policies, rules, and regulations.

The MMCS was developed using Oracle design and development tools, with Oracle 8I as the database engine. A three-tiered architecture will result, allowing web-based access from the State's geographically dispersed offices as well as access by Managed Care Organizations. The MMCS operates in a three-tiered hardware architecture consisting of a thin client (front end), application (middle tier), and database tier (back end). *Exhibit 5-7: Web Forms Configuration* demonstrates how the three tiers and the variants of users should be connected to form the network.

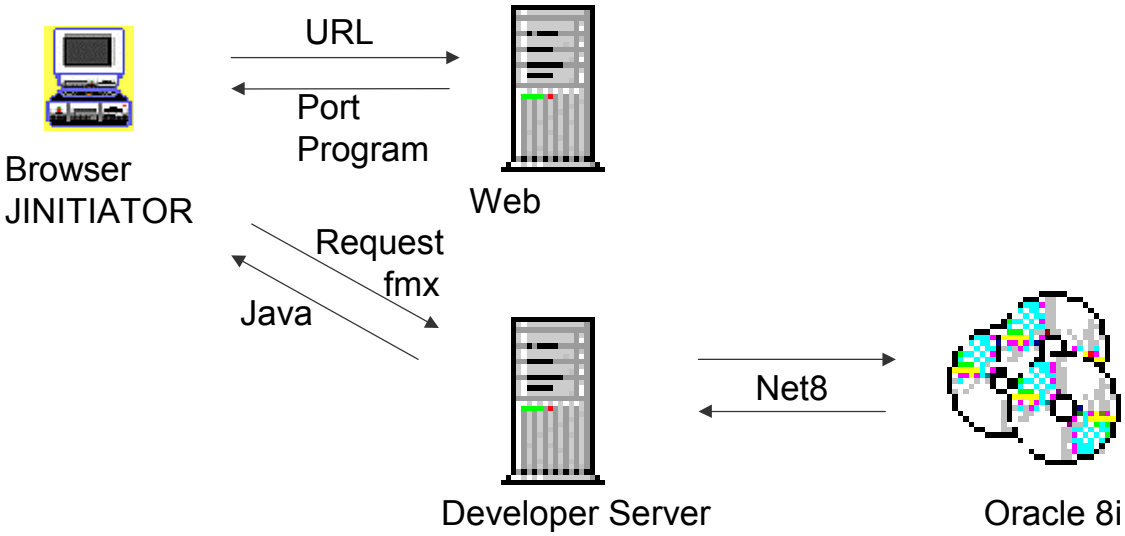


Exhibit 5-7: Web Forms Configuration **demonstrates how the three tiers and the variants of users should be connected to form the network.**

The client tier is responsible solely for the presentation of the user interface initiated via a web browser. The front-end PC's connection to the middle tier is primarily via a high-speed Intranet (limited parts of the application are expected to utilize front-end PCs that connect via low-speed dial-up over the Internet). Interaction with the database tier is initiated solely by logic processed on the middle-tier – the front-end device never communicates directly with the back-end.

The middle-tier is responsible for listening for requests to initiate the MMCS application. Once a request has been received, the middle tier spawns a process that connects to the database tier and executes the Oracle Forms and Reports applications, which reside, and are processed on, the middle tier. The process running the Oracle Forms applications maintains a database session with the database tier and returns applets to the front-end. The function of the applets is simply to update the presentation of the screen to the user. No business logic processing is done by the applets. In limited cases the MMCS presentation to the front-end is via dynamic HTML Web pages rather than applets.

The database tier manages the data of the MMCS application. Processes not driven by user interface sessions (batch jobs) reside and are executed in this tier. Complete integrity of the MMCS data requires user that access to the MMCS database be allowed only through the MMCS applications as considerable business login resides in the middle tier.

5.3.3 HARDWARE ACQUISITION AND INSTALLATION

MAXIMUS HAS A LONG AND SUCCESSFUL HISTORY OF DESIGNING, PLANNING, AND INSTALLING HARDWARE TO SUPPORT COURTVIEW®.

MAXIMUS and the Justice Solutions Division, in particular, has a long and successful history of designing, planning, and installing hardware components at client sites in support of the installation of our CourtView product, other software products, as well as custom software systems and solutions. This section provides an overview of a few selected projects in which hardware acquisition and installation was a key MAXIMUS deliverable.

5.3.3.1 OHIO JUSTICE INFORMATION NETWORK CONSULTING SERVICES

The Ohio Justice Information Network (OJIN) is designed to allow users access to the most current criminal justice information available in the state via a single virtual system using a web-browser interface to a central index repository of data from various criminal justice systems as well as a centralized repository of detailed data for those agencies unable to support direct inquiry access to their databases. MAXIMUS was responsible for sizing and selecting the central OJIN server configuration, installation, and testing of the infrastructure.

There are several types of servers necessary to support the OJIN environment. These server types include application, web, file transport protocol (FTP), database, mail, and certificate servers and represent both logical and physical server configurations. Within the OJIN network design, servers are logically grouped so that a single physical computer may be used for more than one type of server. As the OJIN network evolves multiple physical servers may be grouped physically into server clusters for scalability requirements and separate servers may be dedicated to providing certain services creating an n-tiered environment. Finally, servers may be defined as secure servers – those servers behind the firewalls and contained within the secure network.

CMS RELEVANCE

√ Software Design and Development
√ Hardware Acquisition and Installation
√ Project Management and Timeline Development

Each server must be capable of handling the volume of traffic/transactions that it is subjected to, and must respond reliably within timeframes that are defined as being acceptable. For the current environment, the following performance requirements must be and were met:

- the OJIN must sustain a transaction volume of 100 simultaneous users for a period of 30 minutes with an average response time of

four seconds for Subject Queries against the centralized OJIN Index, and

- the OJIN centralized index, the index physically located on the OJIN server, must contain a minimum of one million records.

Performance requirements have not been established for scenarios in which the OJIN is dependent upon various agency systems to supply data for either OJIN Index or Detailed Data queries.

Server reliability and availability will be achieved through:

- clustering multiple machines,
- configuring multiple CPUs per machine, and
- utilizing operating system software with fail-over capabilities.

A server cluster typically consists of two computer nodes (CPUs) with access to common, replicated, or Redundant Array of Independent Disks (RAID) storage. When one node fails, the other node takes over and provides the necessary processing services. Clustering achieves exceptionally high availability via this failover capability. At this time, no availability requirements have been defined for OJIN. Requirements for 98 percent availability on a per month basis are not unusual in criminal justice environments similar to OJIN. However, the availability requirement cannot be higher than that required for the LEADS network or for each contributing agency. Measurements of OJIN availability must only be applied to the centralized OJIN environment, since OJIN is extremely dependent upon the availability of contributing agencies' platforms and the LEADS network.

5.3.3.2 BUTLER COUNTY COURT OF COMMON PLEAS

CMS RELEVANCE

√ Software Design and Development
√ Hardware Acquisition and Installation
√ Training
√ Project Management and Timeline Development

MAXIMUS implemented CourtView with Document Imaging and Web-Based Public Access for the Clerk of Courts of Butler County, Ohio. For over a decade, the people of Butler County have been able to rely upon the Clerk of Courts office for access to the computerized records of the Court of Common Pleas. The Clerk's office boasts a professional staff of dedicated and knowledgeable Deputy Clerks.

The CourtView application is a comprehensive case management, jury management, and financial management system for court records. The newest software release, Version 2.0, has allowed the Butler County Clerk of Courts to publish court filings, as well as scanned images, on the Internet at www.butlercountyclerk.org.

5.3.4 TRAINING RELATED TO SYSTEMS USE AND ADMINISTRATION

MAXIMUS Justice Solutions Division has implemented 225 systems for clients throughout the United States, and trained over 6,000 users. We provide knowledgeable staff to train your staff quickly and efficiently. Our experience assures you of an expertly planned training endeavor by professionals with many years of experience in these areas. The following project descriptions represent a sampling of the customers that we have trained, and are representative of our experience of providing training services to a diverse group of clients.

5.3.4.1 SOFTWARE IMPLEMENTATION FOR FRANKLIN COUNTY MUNICIPAL COURT

CMS RELEVANCE

√ Software Design and Development
√ User Administration Training
√ Project Management and Timeline Development

Franklin County Municipal Court (Columbus, Ohio) is the largest municipal court in Ohio. This Court has original countywide jurisdiction over civil cases in which the amount in controversy does not exceed $15,000 and all criminal and traffic misdemeanor cases. The agencies included in this project were the Franklin County Municipal Court, General Division, the Franklin County Municipal Court, Environmental Division, and the Clerk of Courts. The General Division, seating 13 judges, disposes of approximately 200,000 civil and criminal cases a year. The Environmental Division, seating one judge, disposes of approximately 14,000 civil and criminal cases a year. There are approximately 300 concurrent users of case/judicial management systems in the Municipal Court environment.

CourtView was implemented to replace the existing mainframe based legacy software, which had been written and supported by the City's internal data processing department. Software components included accounting, cash receipt processing, case management, judicial management/case scheduling, adult probation case management, State and locally mandated reporting, and word processing/forms generation. Additionally, the project called for the ability to download selected data for use by the Columbus Police Department.

Training was coordinated and conducted on site by a MAXIMUS trainer. The training method used centered around process functionality. The training environment consisted of dedicated network and four to six PCs in a segregated classroom. The project had 240 days of on-site training and 100 days of on-site support for the implementation of the Municipal Court.

The training was divided into segments relating to specific functions/processes within the application. Users were assigned to the appropriate class based upon their work needs in the application. The purpose of this training method is to provide a standard and consistent training process that mimics the workflow within the application. The benefit of training is to provide the client with the ability to become self-supportive with regards to maintaining not only the application data, but also the system itself. The client is taught how to maintain code tables, add users, and fix general data problems/issues.

Each division/department scheduled for the next migration phase was trained using this training method. The majority of the classes related to case management, financial management, judicial management, accounts receivable, and system administration. Additional training classes relating to inquiry needs for related agencies/divisions were provided when needed.

5.3.4.2 AUTOMATION OF CLERK OF COURTS

CMS RELEVANCE

√ Software Design and Development
√ Training Related to Systems Use and Administration
√ Project Management and Timeline Development

MAXIMUS is in the process of replacing the entire Manatee County Case Management System. Work began in March 1999 and will continued until November 2001. Training was coordinated and conducted by a MAXIMUS on-site Trainer. The training method used centered around process functionality. The training environment consisted of dedicated network and four to six PCs in a segregated classroom.

The training was divided into segments relating to specific functions/processes within the application. Users were assigned to the appropriate class based upon their work needs in the application. The purpose of this training method is to provide a standard and consistent training process that mimics the workflow within the application. The benefit of training is to provide the client with the ability to become self-supportive with regards to maintaining not only the application data, but also the system itself. The client is taught how to maintain code tables, add users, and fix general data problems/issues.

Each division/department scheduled for the next migration phase employed this training method. The majority of the classes related to case management, financial management, judicial management, and system administration. During the Criminal and Probation phases, classes relating to the Probation and Prosecutor modules were incorporated in to the respective training schedules. Additional training classes relating to inquiry needs for related agencies/divisions were provided when needed.

5.3.5 PROJECT MANAGEMENT AND TIMELINE DEVELOPMENT

OUR MANAGEMENT APPROACH HAS EVOLVED OVER 25 YEARS OF EXPERIENCE.

The MAXIMUS approach to project management is designed to ensure all project activities are organized and performed to satisfy client expectations. Our management approach evolved based on over 25 years of experience and the result of MAXIMUS client surveys. Among the many different types of projects we have undertaken, some have been multi-year efforts, involving large numbers of MAXIMUS personnel and subcontractors; others have been more short-term in nature, requiring careful coordination of resources to meet tight deadlines. Our experience with different types of projects has led us to a methodology of project management that recognizes client expectations and promotes client satisfaction.

MAXIMUS has found that the ultimate project success is based on the collaborative efforts of all project participants, working under the philosophy of trying to prevent problems, rather than the philosophy of trying to enforce corrective actions after mistakes have been made. MAXIMUS works closely with Division staff to ensure the administrative processes are implemented. The MAXIMUS Project Work Plan corresponds to the timeline objectives outlined in the RFP. Our Project Work Plan is structured to ensure that the project is completed on time with no surprises to the Division and that the Project Work Plan is a realistic approach to accomplishing the Division's missions, goals, and objectives.

We manage the milestones and deliverables of this project by following our project management techniques that have proven successful in past engagements. These techniques address major expectations that clients have for project management and accountability. The following description of our project management and timeline development methods for the Connecticut Criminal Justice Information System - Offender Based Tracking System (CJIS-OBTS) Project exemplifies the MAXIMUS approach.

MAXIMUS is entering the third year of a multi-year contract to assist the State of Connecticut establish an OBTS Vision, define requirements, deliver a preliminary system design, workflow, enterprise database model, proof of concept, implementation plan and procurement documents to help Connecticut select a systems integrator for OBTS. After contractor selection, MAXIMUS will continue on in a Project Manager support and Quality Assurance capacity.

MAXIMUS was selected to assist the State to create an integrated criminal justice enterprise information system that enables Connecticut's criminal justice agencies to exchange information about offenders and their criminal cases, and access authorized electronically-maintained offender and case data. The CJIS-OBTS Project is perhaps the most defining initiative within the State of Connecticut with regards to criminal justice. OBTS has been designed to exchange data about offenders and their cases with 14 agency legacy criminal justice systems.

THE STATE OF CONNECTICUT SELECTED MAXIMUS TO CREATED AN INTEGRATED CRIMINAL JUSTICE ENTERPRISE INFORMATION SYSTEM.

The purpose of the CJIS-OBTS is to create an enterprise-wide integrated criminal justice system that provides a single source repository of offender-case data that is accurate, verifiable, timely, and available to all of the authorized criminal justice agencies. The OBTS informs appropriate criminal justice agencies of the occurrence of significant criminal justice events. OBTS encompasses a scalable, adaptable, and maintainable architecture in order to accommodate future criminal justice enterprise and operational requirements.

MAXIMUS responsibilities for the CJIS-OBTS project include:

- project management of the OBTS project in concert with the State;
- assisting in the definition of and providing guidance for working groups supporting the planning, development, and implementation of the proposed system;
- documenting business requirements;
- developing a system design and implementation plan which includes risk assessment and cost benefit analysis;
- developing RFP(s) for obtaining the services of a vendor(s) to provide systems development services, other related services, and needed products;
- developing and gaining approval of a training plan, and an ongoing system operation and management plan; and
- Quality Assurance.

MAXIMUS specific project management responsibilities include:

- day-to-day management of Contractor and sub-contract staff, as assigned;
- monthly status reporting;

- issue reporting, tracking, and resolution;
- change management;
- developing and enforcing documentation standards;
- participating with support the CJIS Governing Board and the CJIS Implementation Group;
- serving as the primary liaison between the CJIS Governing Board and the CJIS agencies;
- as directed, representing and speaking on behalf of the CJIS boards and agencies;
- responding to opportunities and facilitate the resolution of inter-agency conflicts regarding CJIS-OBTS implementation and operation;
- monitoring and maintaining development and implementation schedules;
- monitoring and maintaining a financial picture of the project;
- analyzing progress and suggesting course changes within the project as deemed appropriate or necessary;
- taking responsibility for preparing documents, correspondence, and meeting agendas; and
- developing and implementing a Quality Assurance process to ensure that business objectives are met, milestones are achieved, and stakeholders are satisfied.

MAXIMUS UTILIZES THE SAME PROJECT MANAGEMENT APPROACH FOR ALL OF OUR PROJECT IMPLEMENTATIONS. WE SPECIALIZE IN MANAGING LARGE, MULTI-FACETED PROJECTS.

MAXIMUS utilizes the same project management methodology for all of our projects. We specialize in managing very large and complex projects involving multiple functions, divisions, technologies, and subcontractors. Our project management methodology is based on timely delivery of a quality solution for our clients.

MAXIMUS project management methods are in keeping with industry standards. They have been refined through our many years of experience with large governmental information systems projects and experience with statewide system implementations. MAXIMUS subscribes to the principles and philosophy encapsulated in the Project Management Body of Knowledge (PMBOK) promoted by the PMI. These processes and standards have been adopted as a corporate standard.

6. PRICING

MAXIMUS has provided pricing, as requested in the PNCO, for the Statewide Judicial Case Management Software System, on the following pages. The pricing includes the cost of software, project management, implementation and training services, support, and maintenance. In addition, we have provided costs for value added software, data warehouse, and ancillary services/project management.

CMS APPLICATION AND IMPLEMENTATION PRICING

APPLICATION SOFTWARE COST

CourtView® Statewide License with Web Public Query and Modifications……$4,000,000.00
Total Application Software Cost $4,000,000.00 (1)

PROJECT SERVICES

Project Management (1 FTE, 800 days) $960,000.00 (2)
Project Administrator (1 FTE, 800 days)..... $384,000.00 (3)
Business Analysis (1 FTE, 120 days) $120,000.00 (4)
Data Conversion (3 FTE, 240 days) $720,000.00 (5)
Software Installation (Statewide) $176,000.00 (6)
Total Project Services Cost $2,360,000.00

TRAINING COST

On-site User Training Costs (6 FTE, 520 days) $1,996,800.00
On-site Live Assistance (2 FTE, 440 Days) $704,000.00
Total Training Cost $2,700,800.00 (7)

TRAVEL AND EXPENSES COST

Travel (3750 Days)..... $750,000.00
Total Travel and Expenses Cost..... $750,000.00

Total Application and Implementation Costs $9,810,800.00

Notes to CMS Application and Implementation Pricing

(1) Statewide CourtView license cost includes the Web Public Query module and modifications as listed below:

RFP Item No.	ITEM DESCRIPTION
1.0.2.14	Provide for bond schedule
2.4.5	Record and perform rescheduling, continuance dates, times, mass rescheduling, and reasons for schedule changes
3.4.3	Enter, change or withdraw attorneys for specific cases (or groups of cases) or parties with dates when active and inactive
3.5.4	Print or display all, part or summaries of CCS's for specific case or group of cases based on criteria entered by user and for life of case or specific date range in chronological or reverse chronological order as specified by user
4.2.1	Maintain waiting list of cases to be scheduled for specific date, date range, judicial officer, courtroom and other entities.
4.3.3	Identify completed events and prompt users
4.3.6	Generate alerts when approaching predetermined number of events on schedule using weighted caseload, local rule, and caseload redistribution planning rules.
4.3.8	Generate alert when judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors are unavailable.
6.2.2	Distribute calendars electronically and also broadcast to monitors located throughout courthouse and publish in real time to Internet.
6.2.5	Provide full synchronization capabilities with PDA systems as well as with personal calendar

	programs such as those available through Microsoft Outlook
7.1.10	Distribute court orders resulting from hearings and other judicial and ADR events based upon party's preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available
8.1.1	Record disposition type (i.e., type of judgment, determination of guilty or not guilty) including those involving entire cases, individual parties, parcels in real property rights cases, and cross complaints
8.1.6	Create, print, and maintain separate judgment indices that show original and subsequent judgments by case and party
8.1.7	Create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments for each case and party
8.1.9	Update each case in group of disposed cases as if group were single case
9.1.1	Process requests for execution of judgments and establish cross references for each execution sub-function given below to judgment index and judgment screen
9.1.3	Record fully, partially, and unsatisfied executions
13.2.3	Send notices via e-mail or integrated messaging system
13.4.5	Electronically authorize and transfer collected fees to other units
13.6.3	Print bank deposit slips for specific banks and periods
15.1.25	Utilize card access, biometrics or other similar security device to eliminate passwords and authenticate users
16.1.3	Transfer statistical and case data to judicial branch and state agencies electronically
16.2.2	Produce report that permits judicial officers to monitor conformance with time and other performance standards established by statute or rule
16.2.15	Capture and track locally defined milestone events (e.g., initial filing, answer or response, settlement conference) for specific cases or groups of cases (e.g., case classification such as medical malpractice, judicial officer, court division), giving more flexible case flow information (e.g., elapsed time between user-specified events) than is available in standard statistical reports described in previous section
16.2.16	Maintain and report on current and past judicial officer assignment (including specific cases, case types, case categories), recusal, challenges, hearing results, reassignment, disqualification with reasons where appropriate
16.2.17	Produce index of executions on judgments and garnishments sorted according to various criteria

(2) Project Management days are billed as used. Additional Project Management days are billed at the rate of $ 1,200.00 per day, plus expenses.

(3) Project Administrator days for billed as used. Additional Project Administrator days are billed at the rate of $480.00 per day.

(4) Business analysis days are billed as used. Additional Business Analysis days are billed at the rate of $ 1000.00 per day, plus expenses.

(5) Data Conversion days are billed as used. Data conversion estimates are included, additional data conversion services can be provided when needed on a daily rate of $ 1000.00 per day, plus expenses. Estimate requires that Indiana will provide all requested data in a format directed by MAXIMUS and that all data to which is to be converted is from a relational database model.

(6) Software installation costs include all trial courts except Lake, Tippecanoe, Vanderburgh, and Boone.

(7) Training is priced at the rate of $ 800 per day, plus expenses. Training and on-site live assistance days are billed as used.

CMS MAINTENANCE AND SUPPORT OPTION PRICING

OPTION 1: ANNUAL MAINTENANCE

Maintenance (3000 users) $450,000.00
Total Annual Maintenance $450,000.00

OPTION 2: ANNUAL MAINTENANCE AND 2ND LEVEL SUPPORT

Maintenance (3000 users) $900,000.00
Total Annual Maintenance and 2nd Level Support $900,000.00

OPTION 3: ANNUAL MAINTENANCE AND FULL SUPPORT

Maintenance (3000 users) $1,350,000.00
Total Modification and Development $1,350,000.00

Notes to CMS Maintenance and Support Options

Depending on the needs of the Division, we have provided three alternative options for support and maintenance. Descriptions of the options follow:

Option 1: Annual maintenance includes all future product releases and bug fixes. Maintenance costs are subject to an annual price increase of 5% or the increase in the CPI (Indiana) whichever is less.

Option 2: Annual maintenance and 2nd level support includes all future product releases, bug fixes, and requires the state of Indiana to maintain a first level support system to monitor, classify, and communicate problem reports and user requests. Maintenance and 2nd level support costs are subject to an annual price increase of 5% or the increase in the CPI (Indiana) whichever is less.

Option 3: Annual maintenance and full support includes all future product releases, bug fixes, legislative law changes, and unlimited user access to the MAXIMUS help desk during support hours. Full maintenance and support costs are subject to an annual price increase of 5% or the increase in the CPI (Indiana) whichever is less.

VALUE ADDED OPTION PRICING

VISIFLOW

VisiFlow License Costs – Imaging, Per User	$1,120.00 (1)
VisiFlow License Costs – Imaging and Workflow Management, Per User	$2,400.00 (2)
VisiFlow Server Costs – Per Site	$10,000.00 (3)

TRAKMAN

TrakMan License Costs, Per Site	$40,000.00 (4)

Notes to Value Added Option Pricing

(1) VisiFlow imaging software is priced at $1,120.00 per user. The imaging module is integrated with the CourtView application.

(2) VisiFlow imaging and workflow management software is priced at $2,400.00. Both the imaging and workflow management modules are integrated with the CourtView application.

(3) VisiFlow server costs are $10,000.00 per location. If several courts are within one location, the cost is $10,000.00.

(4) TrakMan license includes all case and evidence tracking modules. TrakMan is integrated with the CourtView application. The licensing is $40,000.00 per location.

DATA WAREHOUSE PRICING

DEVELOPMENT AND SERVICES

Project Management (1 FTE, 108 days)	$129,600.00 (1)
Data Warehouse Development (3 FTE, 180 days)	$540,000.00 (2)
Data Warehouse Installation (2 FTE, 20 days)	$40,000.00 (3)
Total Development and Services Cost	**$709,600.00**

TRAVEL AND EXPENSES COST

Travel (100 Days)	$20,000.00 (4)
Total Travel and Expenses Cost	**$20,000.00**

Total Data Warehouse Costs $729,600.00

Notes to Data Warehouse Pricing

(1) Project Management days are billed as used. Additional Project Management days are billed at the rate of $ 1,200.00 per day, plus expenses.

(2) Data warehouse development days are billed as used. Additional development days are billed at the rate of $1,000.00 per day.

(3) Data warehouse installation days are billed as used. Additional installation days are billed at the rate of $1,000.00 per day, plus expenses.

ANCILLARY SERVICES/PROJECT MANAGEMENT PRICING

PROJECT MANAGEMENT

Project Director (1 FTE, 400 days)	$720,000.00 (1)
Overall Project Manager (1 FTE, 800 days)	$1,280,000.00 (2)
Technical Project Management (1 FTE, 400 days)	$560,000.00 (3)
Project Administrator (1 FTE, 800 days)	$384,000.00 (4)
Total Project Management Cost	**$2,944,000.00**

TRAVEL AND EXPENSES COST

Travel (1600 Days)	$320,000.00
Total Travel and Expenses Cost	**$320,000.00**

Total Project Management Costs $3,264,000.00

ANCILLARY SERVICES - PROJECT TRAINING

Training (Daily Rate)	$800.00 (5)
Total Training Daily Rate	**$800.00**

Notes to Ancillary Services/Project Management Pricing

(1) Project Director days are billed as used. Additional Project Director days are billed at the rate of $ 1,800.00 per day, plus expenses.

(2) Project Management days are billed as used. Additional Project Manager days are billed at the rate of $1,600.00 per day, plus expenses.

(3) Technical Project Management days are billed as used. Additional Technical Project Manager days are billed at the rate of $1,400.00 per day, plus expenses.

(4) Project Administrator days are billed as used. Additional Project Administrator days are billed at the rate of $480.00 per day.

(5) The Division and the Project Director need to determine the scope of the training requirements. Training days are billed at the rate of $800.00 per day, plus expenses.

APPENDIX "A"

Statewide Judicial Case Management System

Functional Standards

About this document

This appendix addresses basic functional standards, which must be part of any judicial case management system ("CMS") acquired by trial courts in the State of Indiana. This document is based upon functional standards developed by the National Center for State Courts and the research and development of the Automated Information Management System ("AIMS") project conducted by the Division of State Court Administration (the "Division") over the past six years. All facets of the work conducted by Indiana trial courts have been included in this document.

In recognition of the increasing importance of technology to the Indiana judiciary, the Indiana Supreme Court created the Judicial Technology and Automation Committee ("JTAC") to develop and implement a vision for the future of Indiana courts. JTAC believes that these minimum functional standards are essential to the efficient operation of courts throughout the state. JTAC has also established as a primary focus the need a "21st Century case management system" that is capable of being installed widely throughout the state.

This Appendix reflects the goal of the Division to establish standards that will describe state-of-the-art CMS, which can be connected to all courts and clerks in the state, as well as other agencies of government such as the Indiana State Police, the Department of Correction, Family and Social Service Administration, the Bureau of Motor Vehicles, and others. The Division also intends that a data warehouse, full network connectivity, and integration of systems with the Internet and other technology will leverage the benefits of technology to extend beyond a full-featured and robust CMS. The Division expects that the leveraging of technology will enable trial courts and clerks to manage increasing caseloads efficiently and more cost-effectively, provide all users of court information more timely and accurate access to that information, and ultimately reduce the cost of trial court operations as efficiencies are realized.

This Appendix refers at various points in time to certain terms. The term "Quest" refers to a proprietary case management system developed by Gottlieb & Wertz and currently used by a number of juvenile jurisdictions in Indiana. "ProsLink" refers to a data management system developed by the Indiana Prosecuting Attorneys Council, and is used by most Indiana county prosecutors. The term "CCS", or chronological case summary, refers to the basic information document created with every Indiana court case reflecting all activity on that particular case. "Weighted Caseload Measures" are those factors derived from extensive statistical study of Indiana courts whereby a time factor is assigned to each case category and calculated based on newly filed cases. "Division" refers to the

Division of State Court Administration, which is an administrative agency of the Indiana Supreme Court.

Functional Standards Approach

Case management systems track the progress of cases through a court and produce supporting documents and reports. The basic unit of information these systems use covers the persons involved in the case—plaintiffs, defendants, judicial officers, attorneys, and courtroom personnel. These persons submit documents to the court, participate in court events precipitated by those documents, and receive documents produced by the court as the case moves to disposition. Most events occur in accordance with schedules established by the court. As events are completed, information is maintained on them. In addition to persons, therefore, basic units of information address events scheduled in the future and events that have already taken place. Each case also has a very important financial element: fees, judgments and charges for court services collected and administered by a related elected official. Finally, these systems produce management information and statistics about the case processing and financial activities.

At the most basic level, these are the types of functions performed by case management systems and the types of information required to support these functions.

Current and Past Events

These functions address the entry and storage of information on events as they happen and maintenance of this information as a record of completed case activities.

- Case initiation and indexing - initially entering and indexing newly filed, transferred, reopened or remanded, counter- or cross-claimed, de novo appealed, and other new cases and the ongoing indexing activity.
- Chronological Case Summary ("CCS") and related record keeping - initiating and maintaining the CCS that is part of the official court record and maintaining the relationships between and accessibility of case-related information for a given case and cases that relate to it.
- Hearings - recording the results of hearings and notifying parties of court decisions.
- Disposition - disposing a case.
- Execution - executing a judgment.
- Case close - closing a case because all provisions of the court order have been satisfied.

Future Events

These functions address scheduled and calendared events that will happen at a future time. These events include the scheduling of administrative activities, which are not part of the official court record, and the calendaring of activities, which together with the results of these activities become part of the official court record.

- Scheduling - scheduling upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules.

- Calendaring - generating and distributing court calendars.

Data Groups

The basic data groups contain information about each case and the persons involved in those cases. Other data groups contain information about events, financial activities, documents and reports produced by the system, and systems and utility functions.

Each data group consists of one or more data types, and for each data type, enough data elements are given to illustrate its purpose and content. The data elements given here are not intended to be a complete list of the data elements that would constitute the data type. More detailed data standards will be developed during the system definition and design phases.

Case

This group consists of a single data type—the case data type, which includes various case categories within the criminal, juvenile and civil case types. Information maintained on each case includes data such as case number, type, status, and style; court; initial filing information; and cross references to party, judicial officer, attorney, and other data.

Person

This group consists of data types that contain information on litigants, judicial officers, attorneys, and other individual and organizational participants in a case.

- Party - data on each party (i.e., individual or organization with standing to bring an action before a court such as a plaintiff, defendant, third party) in a court proceeding including identifier; name; type of party; address(es); personal information; status; aliases; and cross references to case, attorney, financial, and other information.
- Participant - data on each individual or organization who is a participant (e.g., court officer, witness, family member, credit agency) in a court proceeding including name; type of participant; address(es); status; and cross references to case, attorney, financial, company, and other information.
- Judicial officer - data on each judicial officer including identifier, name, assignment, assignment history, status, and other information with cross references to other data such as cases (for ease of discussion, the term "judicial officer" includes judges and other judicial officers such as magistrates, commissioners, referees, judges pro tempore, special judges, and senior judges.
- Attorney - data on each attorney including identifier, name, firm name, location(s), e-mail address, voice and facsimile telephone numbers, bar association linkages, and status and other information with cross references to other data such as cases.
- Non-court agencies - data on agencies external to the courts (e.g., process service, collection) that may participate in a case including name and location with cross references to case number, party, and other information.

Event

This group consists of data types that contain information on past and future events in a case.

- Filings - data on each pleading and other documents (e.g., complaint, petition) filed with the court including document type; filing date; filing party; method of filing; and follow-up actions with cross references to case, financial, document generation, and other information.
- Disposition - data on each disposed case (i.e., case for which a judgment, which is any type of disposition resulting from a court decision, has been rendered) including party; nature of disposition; date of disposition; judgment and payment details if applicable; other information in minutes; and cross references to case, party, hearing, financial, judicial officer, minute, and other information.
- Post trial - data on any type of post-disposition activity (e.g., garnishment, attachment, execution of judgment) including date of activity; judicial officer; and cross references to case, disposition, financial, and other information.
- Other events and entities - appropriate information on each event and entity not covered by other data types.
- Scheduled events - data on each scheduled event (e.g., hearing dates, deadlines for submission of documents such as answers or responses and affidavits) including identification of the event; date, time, and location of the event; participants in the event; security requirements; forms, orders, or subsequent events initiated by the event; deadlines or other periods associated with the event; and cross references to case, hearing, and other information.
- Hearing - data on each calendared event (i.e., proceedings in which arguments, witnesses, or evidence are heard by a judicial officer including without limitation, court events, such as trials and motion hearings; calendar calls; conferences aimed at pre-trial settlement; and quasi-judicial events involving alternate dispute resolution (ADR), such as mediation and arbitration) including type; scheduled and actual dates and times; judicial officer; location; attorneys; results; and cross references to case, party, and other information.

Financial

This group consists of a single, all-inclusive data type. It contains information on financial activities in a case such as payments, financial obligations, and accounting activities including single and installment payments; payment schedules and plans, payment collection methods such as garnishments; proof of payment satisfaction; general ledger accounting; trust fund accounting; front office; cashiering; back office and fund distribution with cross references to case, party, disposition, and other activities.

Document and Report Generation

This group consists of data types that contain information on official court documents such as summons, notices, and reports that summarize case activities.

- Summons and other served processes - data on each served process including type of process; recipient; method of service; date of service; return of service; other status data; and cross references to case, party, and other information.
- Forms and other documents issued by court - data on each such document including type of document; recipient; proof or certificate of service; information on scheduled event; status and status date; and cross references to case, party, and other information.
- Management and statistical information - detail and summary information with cross-references to all of the above data types.

System and Utility

This group consists of data types that contain information on a variety of functions ancillary to case processing such as file and property management and security.

- Document management - data to assist in storing, retrieving, and manipulating documents.
- File and property management - creating, managing, tracking, archiving, and disposing of case records as well as receiving, tracking, and returning or destroying exhibits and other property.
- Security - ensuring security, privacy, and integrity of court information, as well as recording audit trails of modifications and access.
- Modification – ability of users or court system administrators to modify elements of the system for maximum usability.
- Compatibility with local, state, and federal standards.

Organization of Functional Standards

To the maximum extent possible, the standards present the case processing functions described above in the chronological order a typical case would flow through a court. This results in the following functions:

- Case initiation and indexing, with related initial accounting functions;
- CCS and related record keeping;
- Scheduling;
- Document generation and processing;
- Calendaring;
- Hearings;
- Disposition;
- Execution;
- Case close;
- Accounting functions (including front counter and cashiering, back office, and general ledger);
- File, document, and property management;
- Security; and
- Management and statistical reports.

The next section, Standards for Individual Functions, describes the standards for the functions listed above.

Standards for Individual Functions

This section describes the standards for each of the case processing functions listed in the previous section. These functions further divide into sub-functions. Those functions with numerous sub-functions are grouped into several categories of sub-functions.

For each function, the section begins with an overall description of the function and a list of the data types that would support the function. Then the sub-functions are described — either within their respective groups or for the entire function if there are insufficient sub-functions to divide them into groups—in a textual summary, each sub-function is characterized by a short phrase that describes the task(s) it performs and is numbered for ease of reference. Some standards represent capabilities that apply to multiple functions or call for integration between several functions. System functions should also be integrated to permit them to operate together and exchange data so users do not perform the same function several times and/or enter the same data into several functions. Each function covered in this appendix, therefore, should interact with other functions in a completely integrated fashion with minimal or preferably no manual intervention except when the user executes an override. When the functions are performed by separate systems (e.g., separate case processing and financial systems), the level of integration should be such that the existence of separate systems is transparent—or at least not an inhibiting operational factor—to the user. While integration would extend to all functions throughout the system, examples of some functions that would be integrated are:

- Case initiation function interacts with front counter and cashiering function to initiate the case and record filing fees in single procedure, and may be initiated manually, electronically by attorneys, through Quest or ProsLink, or through dedicated terminals or kiosks;
- CCS function supplies basic case information to document generation, calendaring, and other functions that produce documents (e.g., notices, calendars, orders) that contain this information;
- CCS function interacts with other functions in handling cases assigned special status;
- Scheduling function operates in conjunction with CCS, document generation, calendaring, and other functions;
- Scheduling and calendaring functions transfer easily and quickly to and from other parts of system when creating calendars;
- Appropriate functions display judicial officers' caseloads during CCS, scheduling, and other functions;
- Hearings function handles adjournments, continuances, and cancellations in conjunction with CCS, scheduling, calendaring, notice generation, and other functions;
- Hearings function operates in conjunction with CCS, document generation, and other functions to record hearing results and notify appropriate parties;
- Hearings function handles consolidations and bifurcations in conjunction with case initiation, CCS, and other functions;

- Disposition function operates in conjunction with CCS, case close, and other functions;
- Execution function operates in conjunction with CCS, case close, accounting, document generation, scheduling, and other functions;
- Case close function operates in conjunction with CCS, case close, accounting, document generation, scheduling, and other functions (e.g., to establish cross references between consolidated cases for CCS, scheduling, and notice generation; to permit cases to be closed at cash register);
- Accounting function supplies fee, payment, account, and other information to case initiation, CCS, and other functions; and
- File, document, and property management function interacts with CCS, scheduling, and other functions to ensure that data validation checks are satisfied.

In many situations, several functions would be performed contemporaneously; that is, they would appear to be a single function. For example, case initiation, CCS entries, scheduling, noticing, and calendaring are accomplished at the same time in small claims and many other limited jurisdiction civil cases; and disposition and case close often are the same function in many jurisdictions. This appendix covers the functions separately to accommodate those situations in which they are distinct case processing steps.

Case processing system functions should be automated to the maximum extent possible; however, the system should never be allowed to perform functions or enter data that would be contrary to the interests of the court. A manual override should exist to allow the user to override values supplied by the system or to initiate an action manually, such as generation of a form.

Each functional item listed in the tables below receive a "Y" if the functionality already exists in an implemented CMS, an "N" if the functionality is not incorporated in an implemented CMS, and an "R" if the functionality has been developed and is presently ready for release, but has not yet been implemented in any live CMS installations.

All references to administrative rules concern those rules promulgated and adopted by the Indiana Supreme Court, as amended from time to time, and which are published in their official form by West Group.

1.0 Basic System Architecture and Functionality

Y/N/R	
Y	1.0.1 system code and table-driven
	1.0.2 user-defined tables for administrator(s)
Y *	1.0.2.1 state and local ordinance and statute (charge) codes with additional fields to represent start and end active dates of statutes, categorization of statutes, repeat offender penalties, actual state and local statute numbers, associated fines and collection fees
Y	1.0.2.2 law enforcement officer tables
Y *	1.0.2.3 action codes that detail related triggers for court events (for example, an arraignment would trigger a calendar action and

	hearing information) and for miscellaneous comment entries such as "bench warrant issued" or "complaint filed"
Y	1.0.2.4 disposition type and sentencing codes
Y	1.0.2.5 history of fee & fines tables maintained on-line
Y	1.0.2.6 system automatically calculates fees based on table in effect at the time the fee or fine was imposed
Y	1.0.2.7 record event processing time for comparison to standards
N	1.0.2.8 manage case retention time standards
Y	1.0.2.9 maintain and utilize judicial officer resources
Y	1.0.2.10 maintain location/facility availability
Y	1.0.2.11 track holidays and vacations
Y	1.0.2.12 record severity of charges
Y	1.0.2.13 allow motion type codes
Y*	1.0.2.14 provide for bond schedule
Y	1.0.2.15 maintain disbursement and distribution schedule
Y	1.0.2.16 record class of charges for each individual based on case categories found in Administrative Rule 8
Y	1.0.2.17 record hearing types
Y	1.0.2.18 maintain case status
Y	1.0.2.19 permit judicial officers to waive portions of court costs and fees or to waive entirely all court costs and fees
Y	1.0.3 utilize a graphical user interface (GUI)
Y	1.0.3.1 consistent user interface through all modules
Y	1.0.3.2 available short cut/hot keys to permit user control of system from computer keyboard
Y	1.0.3.3 access to all areas of the system without performing multiple log-ins for users with appropriate security levels
Y	1.0.3.4 plain language error message that end users would understand
Y	1.0.3.5 ability of user to enter past and future effective dates

Y	1.0.3.6 available on-line help
Y	1.0.4 ability to run in a Web browser with the same full functionality as a client/server environment
Y *	1.0.5 ability to run in a Java environment
Y	1.0.6 ability to run as a Windows 32 bit client
	1.0.7 required updates/enhancements implemented by vendor
Y	1.0.7.1 standard updates/enhancements require no additional substantive programming changes and no additional non-contract costs
Y	1.0.7.2 customization standards in place by vendor so that system updates can still be performed without loss of customization
Y	1.0.7.3 standard release schedule for major software revisions
Y *	1.0.7.4 cost of upgrade and enhancement included in on-going support obligation
	1.0.8 Support and Implementation issues
Y	1.0.8.1 vendor will commit a full-time on-site project manager/team for the duration of the project
Y	1.0.8.2 problem log maintained by vendor
Y	1.0.8.3 telephone support available through a toll free number
N *	1.0.8.4 telephone support available twenty-four (24) hours per day
Y	1.0.8.5 problems may be resolved by vendor through remote diagnostics using a modem, the Internet, or a VPN.
Y	1.0.8.6 vendor is capable of providing on-site technical support if telephone support does not resolve problem
Y *	1.0.8.7 hardcopy manuals are available for each user
Y	1.0.8.8 technical support manuals for other component parts of the CMS are available
Y *	1.0.8.9 end-users have rescue or installation disks for the CMS or its component parts
	1.0.9 Physical Case File Management
Y	1.0.9.1 ability to generate and read bar code labels
Y	1.0.9.2 users have ability to forward files and update the file tracking system with appropriate security
Y	1.0.9.3 track multiple volumes of files

	1.0.9.4 assign security designations to physical files
Y	1.0.9.5 current location of a file and file status (whether open, closed, or archived) maintained and searchable
Y	1.0.9.6 generate list of case files to be boxed and/or archived
	1.0.10 Integration of other technology
R *	1.0.10.1 support e-mail input and output
Y	1.0.10.2 include a document management system
Y *	1.0.10.3 if a document management system is not included, seamlessly integrate with a third party document management system.
Y	1.0.10.4 provide for Internet payment of fees and fines, as well as credit card payment and other electronic transfer of funds
N*	1.0.10.5 include full functionality for data warehousing as part of the CMS
R*	1.0.10.6 if a data warehouse is not included, seamlessly integrate with a third party data warehouse solution, and if so, please indicate with which architecture or vendor solution this integration is possible
N *	1.0.10.7 capable of full and seamless interface with existing legacy CMS, as well as Quest and ProsLink.
Y *	1.0.10.8 Internet-enabled to allow easy display and collection of data through the World Wide Web.
Y	1.0.10.9 includes technology necessary to accept case filing electronically
	1.0.11 modules included or integrated into CMS
Y	1.0.11.1 probation
Y	1.0.11.2 detention facility
Y	1.0.11.3 prosecutor
Y	1.0.11.4 public defender
Y	1.0.11.5 clerk / financial
Y *	1.0.11.6 drug treatment and alcohol
Y *	1.0.11.7 mental health
Y	1.0.11.8 jury management

MAXIMUS Comments:

1.0.2.1	The Action Code (Charge) table has a 'Deactivate Date' field to deactivate the code from future use, but does not contain fields to represent start and end active dates of statutes.
1.0.2.3	Various CourtView functionality triggers the automatic generation of a Docket Entry.
1.0.2.14	The system currently provides for the storing of a 'Standard' Bond Amount by Action (Statute/Charge). The system also allows for establishing the standard fines and costs upon case initiation for both Criminal and Traffic cases. It is possible to achieve the functionality through the use of these features but detailed analysis may discover that some programming may be needed if the requested functionality goes beyond the understanding of 'provide a bond schedule'.
1.0.5	Public Access
1.0.7.4	Quarterly releases that include upgrades and enhancements are included in the support obligation. Custom enhancements are not.
1.0.8.4	Twenty-four (24) hour support can be purchased if needed, however our normal support includes the hours of 8 AM through 9 PM.
1.0.8.7	Manuals are provided on CD-ROM. Users have the ability to print manuals from the CD.
1.0.8.9	Installation CD is provided. It is recommended that the client backup their system and restore from backup for most current information.
1.0.10.1	Currently in development for Web e-filing functionality. To be Released in 2002.
1.0.10.3	Fully integrated with VisiFlow.
1.0.10.5	The CMS includes functionality to automatically submit data to a separate data warehouse that serves multiple CMS installations.
1.0.10.6	For complete explanation including the architecture and solution, see section of the RFP Response titled as 'Data Warehouse'.
1.0.10.7	Currently in analysis for interface with ProsLink. Capable of other interfaces (existing legacy CMS) based on more definition.
1.0.10.8	Currently, Web Module for display only.
1.0.11.6	Drug Treatment and Alcohol included as part of the Probation Module.
1.0.11.7	Mental Health included as part of the Probation Module and/or the Prosecutor Module.

2.0 Case Initiation and Indexing Function

This includes activities that initiate a case and maintain its index including acceptance and processing of the initial filing, associated record keeping and reporting, and creation and maintenance of an index for the case.

2.1 Case Initiation

New cases are entered into the court computer system so that information and filings (e.g., complaints, petitions) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. These entries must conform to case numbering requirements from the Administrative Rules, as well as other standard styling and basic information. Case initiation may come from an electronically filed case, a case filed in traditional paper format, or from another authorized system with interface links to the case management system, such as ProsLink or Quest.

Other than indexing, the most basic case initiation activities are to give the case an identifier, a description, and a case file.

Table 2.1 --- Case Initiation Sub-functions

General Requirements	
Y	2.1.0 generate and assign case numbers using format and categories defined in Administrative Rule 8, and user modifiable to reflect rule changes
Y	2.1.1 generate case title or style from party names and other information
Y	2.1.2 generate and assign separate party identifier for each plaintiff, defendant, and other parties associated with the case
Y	2.1.3 capture reason for initiation (new filing, transfer, etc.)
Y *	2.1.4 queue case initiation for review by Clerk staff to ensure compliance with filing requirements
Y	2.1.5 records must contain court, county and other identifiers, including attorney numbers and must permit the relationship of parties to be identified
Y	2.1.6 automatic CCS entry including initiation information, contact information, and organizational information (for entities as parties in case)
Y *	2.1.6.1 record whether case filing is time sensitive or requires other special handling
R *	2.1.7 permit filing of case from dedicated terminal or walk-up kiosk
Y	2.1.8 generate receipt and proof of filing, including time and date stamp and receipt of filing fees

R *	2.1.9 support differential case management based on weighted caseload categories and type of filings
Y	2.1.10 allow cases to be grouped by various criteria including parties and subject matter from single or multiple filings
Y *	2.1.11 automatically search for duplicate parties and prompt user when a party already exists and allow inclusion and updating of information as part of case initiation
Y	2.1.12 allow miscellaneous civil matters to be recorded and maintained absent a formal case filing (eg. tax warrants)
Y *	2.1.12.1 permit full search capabilities on miscellaneous case information, including a fully searchable comment field

MAXIMUS Comments:

2.1.4	Available for Web e-filing.
2.1.6.1	Can be accomplished by using Tickler functionality.
2.1.7	Currently in analysis for Web e-filing. To be Released in 2002.
2.1.9	Currently in development. To be Released in 2002.
2.1.11	Users have the ability to 'Search' the Identity table for existing identities. Automatic searches, by SSN or DLN, are generally built into our Traffic Initiation Screens.
2.1.12.1	Cannot search on Comment field.

Table 2.2 Criminal Case Initiation

Y	2.2.0 entry of date, time and location of offense in both system fields and the CCS
Y	2.2.1 record the degree of offense and multiple offenses
Y	2.2.2 track the history of all charges and their dispositions
Y*	2.2.3 record the number of prior offenses with abstracts
Y	2.2.4 electronically transfer cases from initial hearing courts to courts of general jurisdiction
N *	2.2.5 initiated from ProsLink, local law enforcement, state law enforcement, and other electronic means
Y *	2.2.6 ability to record and maintain miscellaneous criminal information which does not have a formal criminal case filing (eg. search warrant)
Y *	2.2.6.1 permit full search capabilities on miscellaneous case information, including fully searchable comment field

N *	2.2.7 ability to accommodate changes in the criminal law, which must be applied as of the date of the offense, not as of the date of the change

MAXIMUS Comments:

2.2.3	The abstract form may be accomplished through the Word Processing Merge Document process. Client History report can provide the number of priors.
2.2.5	Currently in analysis for interface with ProsLink. Capable of other interfaces (law enforcement) based on more definition.
2.2.6	Via a miscellaneous Case Type.
2.2.6.1	Cannot search on Comment field.
2.2.7	The Action Code (Charge) table has a 'Deactivate Date' field to deactivate the code from future use, but does not contain fields to represent start and end active dates of statutes.

Table 2.3 Traffic Case Initiation

	2.3.0. capture all information on issued tickets
Y	2.3.0.1 driver's license number
Y	2.3.0.2 state issuing license
Y	2.3.0.3 location of license if confiscated
Y	2.3.0.4 violation
Y	2.3.0.5 police officer name and identification, police department
Y	2.3.0.6 class of license of offender
Y	2.3.0.7 Social Security number of offender
Y	2.3.0.8 indicator flags for hazardous materials, accident, etc.
Y	2.3.0.9 offender license information, including expiration date, restrictions, address, entity name, type of vehicle, etc.
Y	2.3.1 calculate speeding fines based upon ticket information in consideration of law in effect as of the date of the offense
Y	2.3.2 system interface with or transmit directly to the Indiana Bureau of Motor Vehicles

Table 2.4 Hearings

Y	2.4.1 record the original plea, changes of plea, and dates of changes
Y	2.4.2 record which parties were present for the hearing
Y	2.4.3 record the hearing result
Y	2.4.4 facilitate court management by reminding staff of files scheduled for hearing
Y *	2.4.5 record and perform rescheduling, continuance dates, times, mass rescheduling, and reasons for schedule changes
N	2.4.6 schedule multiple events by defendant in criminal cases
Y *	2.4.7 automatically schedule future court dates, times, actions, facilities, and judicial officers
Y	2.4.8 permit integration of schedules with law enforcement and other entities external to court

MAXIMUS Comments:

2.4.5	No functionality currently exists for mass rescheduling. Would be a modification.
2.4.7	CourtView's 'Auto' Scheduling allows blocks of time to be preset on a judicial officer's schedule, thereby allowing users the ability to automatically schedule into one of the predefined blocks.

Table 2.5 Events

Y	2.5.1 unlimited number of events possible for cases, with scrolling windows for review and update of information
Y	2.5.2 event codes user or court administrator defined
Y	2.5.3 fully integrated word processing, scanned or electronically filed documents in the CCS
Y	2.5.4 automatically make multiple CCS entries for one case at one time
Y	2.5.5 automatically record a fee or payment obligation for an event
Y	2.5.6 record free form text regarding the event

3.0 Indexing

The index is created at case initiation and maintained throughout the life of a case. The index allows users to make rapid inquiries of the database by searching selected items (or key fields). A user can make increasingly specific inquiries of the database based on the information provided during a preliminary index search. The overall purpose of an index is to allow users to look up cases or parties and view index information such as each party's name, role in the case, and whether the party has an attorney; case type; case number; date filed; and a cross reference to other parties in the case (e.g., the parties named in the case title or style). Users who know some specific piece of information about a case—but do not know the case number—may access the index to look up the case number or whether the court database contains information on a specific case or party. If the system returns multiple matches, the index helps users find the specific case or party they are seeking and then retrieves basic information from the index on that case or party.

The index should allow users easy interfaces with (1) other parts of the system such as CCS, scheduling, calendaring, and accounting for potentially all information (including financial information) on that case and related cases and (2) the inquiry and report generation capabilities (see Appendix A) for more varied displays and reports. System designers must decide how the index will exist within their computer system. For instance, the index can be a "physical" entity in which all of the index information resides in a single place in the database, or it can be a "logical" entity that gathers the index information from several places. Regardless of whether the index is a physical or logical entity, the indexing system must make information easily accessible (i.e., in a manner that requires no additional user actions to correlate and manipulate index data from several places) for a specified case or party.

Table 3.0 Indexing Sub-functions

Y	3.0.1 create and maintain locally defined index that (1) contains basic index information such as each participant name, role in case, and whether party has an attorney; case type; case number; date filed; and cross reference to other parties in case, (2) permits database look-up by a choice of key fields and, if record found, (3) permits retrieval and display of index information, and (4) permits easy interfaces with other parts of case management system as noted below.
Y	3.0.2 handle look-up and retrieval sub-functions by identifying a specific participant name, party role, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up— and then obtaining index information by selecting from list of matching cases or parties or by using key fields
Y	3.0.3 allow users easy interface with other parts of the system such as CCS, scheduling, calendaring, and accounting for potentially all related case and financial information and with the inquiry and report generation capabilities for more varied displays and reports
Y	3.0.4 permit name search on variations of a person's or participant's name
Y	3.0.5 allow multiple names and bar identifiers, as well as firm affiliation for attorneys

Y	3.0.6 include index information in index record as noted above or make index information easily accessible or in a manner that requires no additional user actions
Y	3.0.7 permit updating of index based on occurrence of specific case events
Y	3.0.8 extract, print, or otherwise produce with appropriate security restrictions index information arranged according to various components of index
Y	3.0.9 retrieve basic index information on all cases associated with specific participant
Y	3.0.10 accommodate aliases in conjunction with indexing and processing of participant names as appropriate
Y	3.0.11 permit search for participants based on address
Y	3.0.12 permit search for participants based on Social Security number search
Y *	3.0.13 permit search for participants based on approximate spelling of party names (e.g. a "sounds like" search)
Y *	3.0.14 permit search for participants based on gallery number or other law enforcement identification
Y	3.0.15 permit search for participants based on driver's license number or other state issued identification number
Y	3.0.16 accommodate *lis pendens* matters, including ability to record and communicate when a *lis pendens* notice is no longer warranted

MAXIMUS Comments:

3.0.13	Soundex Search
3.0.14	Can search on Citation Number and/or Ticket Number.

3.1 CCS and Related Record keeping Function

The activities associated with entering in the CCS including: (1) that a document has been filed; (2) that, in some instances, a filed document is the basis for placing a case on the court's calendar for a hearing or other review; and (3) what occurred at the hearing or other review. This appendix adheres to the following three basic characteristics of CCS:

- The CCS is a chronological record of actions which have occurred on a particular case. The CCS is the principal case-level record utilized by the courts.
- As a chronological record of actions which have already occurred, the CCS is never anticipatory. The content of the CCS entry of a completed event, however, may be anticipatory (e.g., a CCS entry that scheduling of a hearing has been completed, while the content of the entry says the hearing will occur in the future).
- The CCS entries show the existence of other documents that are part of the official court record.

CCS activities include the following functions: (1) record in the CCS the results of events based on the documents filed and financial transactions during the life of a case; (2) maintain the CCS; (3) maintain records used in the CCS function; and (4) produce related outputs. The CCS, which is arranged by filing date, is the primary chronological record of documents that have been filed and court orders or judgments that arise from calendared matters during the life of a case.

Users enter information in the CCS as court events are completed. The CCS function differs from the scheduling and calendaring functions (covered later in this appendix) in that scheduled events and calendared matters are to be acted on in the future. For example, the clerk would enter a scheduled event on a future date in the calendar but not in the CCS (e.g., a tickler function). If the clerk places a matter on a judicial officer's calendar as a result of the activities associated with the scheduled event, the clerk creates a CCS entry to record the fact that a hearing or other review has been calendared. From a computer system perspective, the CCS is a logical entity and not a physical repository of information as in manual case processing. Record keeping related to the CCS refers to the computer's ability to access, correlate, and manipulate records (e.g., code translation tables, case records, party records) in a manner that produces the required information on a given case and on cases that have a particular relationship to the given case. The computer produces this information as if it were in a physical CCS book. Additionally, when the system inputs or outputs CCS information, it assists the user by providing prompts, selected printouts or displays of CCS contents, an audit trail of who updated the CCS, and other utility services.

Sub-functions. Within the CCS and Related Record keeping Function, the sub-functions are grouped into case information, event information, information relationships, and input/output management.

3.2 Case Header

When the system creates the CCS using entries made during case initiation and supplemented by subsequent user entries, the CCS receives information on the initial filing and basic case information such as case type, case category, case status, case title or style, parties, attorneys, and CCS-related events. As the case progresses, this information is maintained and additional information is recorded—primarily on events in the flow of the case as described in the Event Information below.

Table 3.2 --- Case Header Sub-functions

Y	3.2.1 maintain case information originally entered during case initiation in CCS including information on initial filing and basic case information
Y	3.2.2 maintain information originally entered during case initiation for parties and participants as individuals or organized entities with a primary contact person

3.3 Event Information

As the case progresses and events are completed, summary information about each event is entered into the CCS. While some events may trigger an update to the case information in the CCS, event entries generally are not updated unless they have been entered incorrectly; subsequent events are entered separately.

Table 3.3 --- Event Information Sub-functions

Y	3.3.1 enter and maintain information and dates on filings and other completed events not previously in system
Y	3.3.2 create CCS entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function such as hearing scheduled, hearing results, dispositions and requests for enforcement of judgments
Y	3.3.3 create CCS entry based on electronic documents distributed by other functions
Y	3.3.4 permit user to identify and retrieve electronic documents by identifying them on each detailed list of CCS events and easy display or printout of electronic document
Y*	3.3.5 allow single event to create multiple CCS entries
Y	3.3.6 enter, maintain and display or print information on special case processing requirements or orders
Y	3.3.7 maintain case information as official court record in accordance with state and local statutes or rules
Y	3.3.8 permit the entry of *nunc pro tunc* entries, to the extent permitted by administrative rules and state law

MAXIMUS Comments:

3.3.5	Multiple CCS entries are supported through Case Initiation process. Most places in the application do provide for automatic CCS entry upon certain actions or 'events' but only one automatic CCS entry

3.4 Information Relationships

For single and multiple cases and persons, the system should maintain relationships between different kinds of information contained in the CCS and inform users of cases, activities, parties, and other entities that would affect or be affected by the information at hand. The capability to establish and apply such relationships greatly assists users in entering and synchronizing data throughout the system.

Tale 3.4--- Information Relationships Sub-functions

	3.4.1 maintain information on multiple parties, participants, witnesses, victims and attorneys in each case, such as personal information and status
Y	3.4.2 maintain multiple current and historical addresses, with beginning and ending dates, for each party, participant, witness, victim and attorney
Y *	3.4.3 enter, change or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive
Y	3.4.4 maintain information on law firms and associated attorneys
Y	3.4.5 maintain information and relationships on multiple cases, judicial officers, attorneys and parties and allow changes such as transfers in single user action
Y	3.4.6 permit, with proper security clearance and supervisor approval, editing and deletion of specific CCS entries and all data related to those entries with an accompanying audit trail record of the modifications or deletions
N	3.4.7 apply specific changes to multiple CCS's, parts of CCS's or groups of cases so that user can make change in single action
Y	3.4.8 link and display information on CCS entries for events related to current CCS entry (e.g. new motion filed should be linked to motion that it opposes)
Y*	3.4.9 link and display documents and images that are related to CCS entries

MAXIMUS Comments:

3.4.3	Maintaining Attorneys is done by Party by Case. Groups of Cases or Groups of Parties would be a modification.
3.4.9	Requires fully integrated imaging solution.

3.5 Input/Output Management

A group of utility-type sub-functions support input to and output from CCS and other functions. These sub-functions support code translation tables, user prompts, workstation usage records, CCS displays, and input templates of standard court documents.

Table 3.5 --- Input/Output Management Sub-functions

Y	3.5.1 maintain and properly use code translation tables defined by user

Y	3.5.2 provide prompts to help users including on-screen help available for all major functions
Y *	3.5.3 create, maintain and produce audit trail identifying persons who and the location of the computers that made CCS and other entries, including the date and time entries were made, modified, edited or otherwise acted upon
Y *	3.5.4 print or display all, part or summaries of CCS's for specific case or group of cases based on criteria entered by user and for life of case or specific date range in chronological or reverse chronological order as specified by user
Y*	3.5.5 support electronic filing through Internet, through direct connection with courthouse kiosks, or through case initiation by other system such as Quest or ProsLink
Y	3.5.6 maintain file of input templates available to users to create input documents and, as necessary, associated cover sheets and relate the use of each template to other court events such as CCS entries
Y	3.5.7 maintain and print or display the history of changes in judicial officer and court assignments, including those by challenges, and showing present and former judicial officers and reasons for change
Y	3.5.8 maintain and print or display the history of attorney changes for specific case or party

MAXIMUS Comments:

3.5.3	Every table in CourtView has standard audit fields, insert by, insert program, insert date and time, updated by, updated program and updated date and time. This does not include location of computers.
3.5.4	Group of cases would be a modification.
3.5.5	Application currently supports e-filing of documents in already established cases via the internet and smartcard technology. E-filing of cases will be released later in 2002 and will include the option to not require smartcard technology

4.0 Scheduling Function

The activities associated with scheduling upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules. Scheduling contrasts with CCS in that scheduling addresses events that are not yet calendared and have not yet happened, while CCS entries address completed activities.

Courts schedule the following two basic types of events:

- In many courts, deadlines are set for specific events when a case is filed and assigned a case number. Other deadlines are established for submission of documents and completion of other actions as the case progresses. These deadlines often conform to time intervals based on the case's differential case management

category, case type, or case category, as well as statutory or rules-based handling of cases. Deadlines define the schedule within which the case moves to disposition, which may be by trial or before the trial, for example, by default, dismissal, withdrawal, or conference.

- Courts also schedule trials, other judicial proceedings and other events.

While most courts regard scheduled events as administrative activities and not part of the official court record, some of these events generate disposition deadlines that may initiate an action that is part of the official court record, and may appear in the CCS.

The Scheduling Function includes the scheduling of judicial and other events; the Calendaring Function covers the calendaring of matters placed on a judicial officer's calendar for hearing or other review. The distinction between scheduled and calendared events takes on greater significance as access to court records—particularly electronic access—increases. While courts permit access to official court records such as calendars and hearing results, internal work such as schedules should have more protection. Access to an amalgamation of schedules and calendars, moreover, could confuse outside persons unfamiliar with court procedures and terminology. Finally, from a technical perspective, there is an intrinsic difference between internal, administrative items such as schedules and calendars, hearing results, and other items in official court records—access to schedules, when granted, is a "pull" operation, and access to calendars is a "push" operation.

Sub-functions. Within the Scheduling Function, the sub-functions are grouped into schedule creation, person and resource assignment, ticklers and other user alerts and prompts, and schedule and case management.

4.1 Schedule Creation

Before considering the people and other resources that will serve as the foundation for schedules, guidelines must be established for determining what to schedule, what conditions trigger scheduling, and how to schedule multiple events or persons that relate to each other.

Table 4.1 --- Schedule Creation Sub-functions

Y	4.1.1 schedule events and groups of events
Y	4.1.2 initiate schedule of future events based on user input or occurrence of prior events
Y	4.1.3 allow multiple cases and events to have same scheduled date and time
Y	4.1.4 schedule maximum number of cases for specific time interval by event type, including allowance of case "stacking", where several cases are scheduled for the same trial date
Y *	4.1.5 schedule group of related cases as if group was a single case
Y	4.1.6 provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations

Y*	4.1.7 apply specific change to multiple schedules for group of cases as if group was a single case
Y	4.1.8 identify and display scheduling conflicts
Y	4.1.9 when multiple schedules change, modify records of all related parties, participants, calendars, CCS entries and other data and functions including displaying scheduling conflicts, suggesting resolutions, allowing user overrides and rescheduling only with user approval
Y*	4.1.10 fully integrate with Microsoft Outlook

MAXIMUS Comments:

4.1.5	Tickler Notice Processing and Recurring Ticklers allow for group of related cases based on type and due date.
4.1.7	Application supports moving blocks of cases from one judge to another for same day/time and also supports moving an entire Judge's caseload to another judge or multiple judges by random reassignment or direct assignment by a percentage to accommodate new judges added or judge's leaving office.
4.1.10	Currently supported only in the Pretrial and Probation module for Schedulable Object scheduling.

4.2 Person and Resource Assignment

This section covers standards for assignment of the proper people (e.g., judicial officers, attorneys, parties, participants) and resources (e.g., court or meeting room) to create reliable schedules. Most of these standards specify fully automated functions, particularly important in large jurisdictions with many people and resources to schedule, but also applicable to courts of any size.

Table 4.2 --- Person and Resource Assignment Sub-functions

N*	4.2.1 maintain waiting list of cases to be scheduled for specific date, date range, judicial officer, courtroom and other entities
Y	4.2.2 considers availability of judicial officers, law enforcement, attorneys, parties, participants and court facilities, weekends, holidays and other days generally unavailable for court (to extent information is in the system) and allow manual override or scheduling
Y*	4.2.3 relate individual judicial officers and other participants to courtrooms, locations or other resources according to availability by time delimited to time blocks as small as fifteen (15) minutes or as large as one (1) year

R *	4.2.4 assign specific case categories to specific divisions of the court according to user defined parameters including those based upon the Weighted Caseload Measures
Y*	4.2.5 assign and reassign individual and groups of judicial officers using one or more of the following methods: random, according to pre-defined rules, according to specific conditions present, according to judicial officer's schedule, or through attorney selection
Y	4.2.6 assign related cases, as designated by a user, to the same judicial officer and group together on schedule
Y *	4.2.7 reassign individual or group of cases from one judicial officer or calendar to another as if the group were a single case

MAXIMUS Comments:

4.2.1	Application provides for process of locating cases that have no events scheduled and allows for addition of tickler to case which will allow for scheduling the cases as part of the 'Lack of Prosecution' functionality but does not provide method for complete accomplishment of stated request.
4.2.3	Currently Available for Judges/Hearing Officers/Magistrates only for 'defaulting' purposes. Location may be changed to other than default when actually scheduling.
4.2.4	Differential Case Management currently in development. To be Released in 2002.
4.2.5	Judges or hearing officers may be assigned or reassigned in a random manner or according to first letter of defendant's last name. Individual Judge's conflicts rules may be setup for conflicts with Attorneys or Individuals only. Groups of judges or attorneys are not supported.
4.2.7	Judge Caseload transfer process includes moving the outstanding hearings as well as reassigning the judge. Block re-calculation process provides for moving events (blocks) from one Judge to another for same day.

4.3 Ticklers and Other User Alerts and Prompts

The system should generate ticklers, other alerts, and prompts to inform users (including individual users and workgroups) of impending or expired schedule deadlines, of completed schedule events, and of required scheduling actions that relate to the current activity.

Table 4.3 --- Ticklers and Other User Alerts and Prompts Sub-functions

Y	4.3.1 provide tickler capability: identify events coming due or overdue, periods about to expire or expired and events of which user should be aware, based on statute or rules; prompt or notify users; and initiate proper functions
Y	4.3.2 provide user-activated or -deactivated visual reinforcement to ensure user sees tickler message
Y *	4.3.3 identify completed events and prompt users
Y	4.3.4 generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria
Y	4.3.5 prompt user to schedule predefined related cases
Y*	4.3.6 generate alerts when approaching predetermined number of events on schedule using weighted caseload, local rule, and caseload redistribution planning rules
Y	4.3.7 generate alert when displaying cases that are not public record
Y*	4.3.8 generate alert when judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors are unavailable
Y*	4.3.9 fully integrate with task list and other personal management features of Microsoft Outlook
R*	4.3.10 integrate with messaging system for notices and other notifications

MAXIMUS Comments:

4.3.3	Prompt users would be a modification.
4.3.6	User is prompted when block is full but allows user to override and add case to schedule. As stated, modification would be required.
4.3.8	System performs conflict checking for Judges, Attorneys and Officers and locations but not for other participants. Would require modification
4.3.9	As stated earlier, scheduling of events with publish to Outlook is supported only in the Pretrial and Probation modules. No support for integration with Outlook task features or other personal management tools.
4.3.10	The system will have a messaging system based on addition of CCS entry which users may setup to send message to user or groups of users for notification to take next step or action in processing or notification that some processing is completed. This is user definable and will be in the next release scheduled. System also provides integration with 3rd party software for Workflow Management where documents are imaged/e-filed. (VisiFlow®)

4.4 Schedule and Case Management

The case management system must provide highly flexible, user-defined printouts and displays of scheduling information by various groups and individuals. The system also must accommodate various case management methods and provide other support functions.

Table 4.4 --- Schedule and Case Management Sub-functions

Y	4.4.1 maintain and display information on scheduled events
Y	4.4.2 print each schedule upon user request
Y	4.4.3 create, maintain, and display or print administrative or clerk's calendar that shows all cases with action pending within specific date range, and update calendar when pending actions completed
Y	4.4.4 enter completed events noted on administrative or clerk's calendar into CCS
Y	4.4.5 print or display attorneys who have cases with future court dates sorted by various criteria
Y *	4.4.6 print or display schedules for various persons and facilities within a specific time period
Y	4.4.7 generate CCS entry based on scheduled and completed events
Y*	4.4.8 track conformance to rules and other standards including modifications, allow some user overrides, and suspension of time counting under certain conditions
R *	4.4.9 support differential case management and other case management methods and rules such as Weighted Caseload measures determined by Division
N	4.4.10 include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards

MAXIMUS Comments:

4.4.6	Staff Calendar allows scheduling for various persons defined in the Staff table.
4.4.8	Some provisions for time limits and standards are provided with two pieces of application functionality. Docket Limits for one provides not allowing CCS entry to be added based on certain time limits definable by user. Event setup also allows for setting the next event to be scheduled by case type within certain time frames.
4.4.9	Differential Case Management currently in development. To be Released in 2002.

5. Document Generation and Processing Function

The activities associated with this function include generating, distributing, and tracking documents that notify persons of past and upcoming events and other court actions. The categories of documents in this section are (1) those that typically require service by a law enforcement officer or other authorized process server with a return of service such as civil warrants, summons, and complaints; (2) those that are given or sent by mail to litigants with a proof or certificate of service such as notices and letters; and (3) those that are sent with no proof of service or used internally such as forms, letters, and brief reports.

Many of these documents contain court seals and standard text into which the text and data that pertain to a specific case are inserted and signatures affixed. To help produce these frequently used documents, the case management system allows users to create, store, and maintain forms—or output templates—that contain "boilerplate" text and may be imaged to permit court seals and signatures. When users need to complete one of these forms, the system accesses the appropriate output template and the user inserts the text and data for a given case. The text and data may be newly entered or received from sources such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case processing and word processing systems

These documents may be generated automatically following a specific event or result from a user entry, and they may be either printed and distributed manually or distributed electronically. Users must track served documents from the time they are sent out until the person who has been served appears at the prescribed time and place.

Sub-functions. Within the Document Generation and Processing Function, the sub-functions are grouped into document generation and document utilities.

5.1 Document Generation

This category consists of all documents generated by the system including those that typically are served by a process server, such as a law enforcement officer, and those that are simply mailed or given to a party, attorney, or participant.

Table 5.1 --- Document Generation Sub-functions

Y	5.1.1 generate notices or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents are received and accepted by the court, particularly when a document is filed electronically
Y	5.1.2 generate documents triggered by a specific event
Y	5.1.3 generate miscellaneous documents
Y	5.1.4 generate special notices
Y	5.1.5 in cases with multiple active parties, generate single notice for attorney who represents multiple parties

Y	5.1.6 in cases with multiple active parties, show names and primary addresses of all other active parties and attorneys on notice to specific active party and show names and primary addresses of all active parties on file copy of notice
Y	5.1.7 print documents individually or in batches in local courts or central location
Y *	5.1.8 distribute documents electronically
Y	5.1.9 track document service, return of service, proof or certificate of service, re-service if necessary, and any other events
Y	5.1.10 perform document generation, printout, and distribution sub-functions for group of cases as if group was a single case
Y	5.1.11 integrate with Microsoft Word

MAXIMUS Comments:

5.1.8	Merged Documents can be saved and then distributed electronically.

5.2 Document Utilities

This category includes various utility functions that support document generation such as output templates (i.e., forms that may be imaged to permit court seals and signatures into which text can be inserted), standard text (e.g., "boilerplate" text used in many documents), and recipients for specific documents.

Table 5.2 --- Document Utilities Sub-functions

Y*	5.2.1 in conjunction with CCS and related record keeping functions, allow users to create and maintain files of output templates and standard text, including entire paragraphs and graphics and use files to (1) create official court documents by inserting text into templates and (2) create other documents consisting of only text
Y	5.2.2 maintain electronic duplicate of document(s) or images of documents delivered electronically and relate to the court event(s), party, or activity for which they are used
Y	5.2.3 provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database
R*	5.2.4 produce electronic forms and other documents noted above; distribute documents and receive responses electronically

MAXIMUS Comments:

5.2.1	Most of this functionality is supported through management of Word processing documents and Macros. From the application itself, the use of extended docket text functionality mimics the 'boilerplate' type of functionality and can be incorporated into notices to participants via the 'Clerk's Notices' functionality. Application also supports standard Windows™ Copy/Cut and paste features from application to application.
5.2.4	In design and development and to be available only through the e-filing process.

6. Calendaring Function

The activities associated with the creation of calendared matters including the generation, maintenance and distribution of court calendars for each type of hearing or settlement conference.

Calendaring encompasses all proceedings at which arguments, witnesses, or evidence are considered by a judicial officer or administrative body in court events such as trials and motion hearings; conferences aimed at pre-trial settlement; and other judicial events.

Calendaring is the deliberate act of placing a matter on a court or judicial officer's calendar on a particular date. The calendared activity, which may be immediate or at a future date, refers to court business conducted by a judicial officer, usually with counsel and litigants present and resulting in a decision by the judicial officer. The action, ruling, order, or judgment from the event causes production of a document that, with the calendar itself, is part of the official court record. The clerk creates a CCS entry to record the result through an entry reflecting the action taken.

Sub-functions. Within the Calendaring Function, the sub-functions are grouped into calendar creation and calendar management.

6.1 Calendar Creation

Hearing schedules (see Scheduling Function) provide the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the CCS and Related Record keeping Function, judicial officers' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by entering changes (e.g., add witnesses, change attorneys, return to scheduling because case continued) and generate calendars (usually by printout) for distribution.

Table 6.1 --- Calendar Creation Sub-functions

Y	6.1.1 create, generate, and maintain calendars based on scheduling information for each type of hearing or mixed hearings for specific periods and according to various criteria, permitting editing and modification by authorized users
Y *	6.1.2 transfer easily and quickly between scheduling, calendaring, and other parts of the system when creating calendars
Y	6.1.3 create and maintain judicial officers' notes for judicial officers' viewing only in accordance with local rules and statutes

MAXIMUS Comments:

6.1.2	Windows allow you to 'paint' screens on top of each other. Closing the screen will return you to the previous screen.

6.2 Calendar Management

Between the time the calendar is created and the hearing date, users perform various calendaring functions such as finalizing the calendar at a prescribed cutoff point, printing the calendar, distributing it to judicial officers and strategic courthouse locations for posting, and producing summary reports.

Table 6.2 --- Calendar Management Sub-functions

Y	6.2.1 create and print calendars individually or batch according to various criteria including date, judicial officer, or courtroom
N *	6.2.2 distribute calendars electronically and also broadcast to monitors located throughout courthouse and publish in real time to Internet
Y	6.2.3 generate and display or print summary of upcoming hearings for a judicial officer or in a courtroom over a specific period
Y	6.2.4 display or print summary calendar information and provide interface to other parts of system to access other types of information
N*	6.2.5 provide full synchronization capabilities with PDA systems as well as with personal calendar programs such as those available through Microsoft Outlook

MAXIMUS Comments:

6.2.2	Would be a modification.
6.2.5	As previously stated, the 'Push' of scheduling objects to Outlook is supported only the probation and pretrial modules. No PDA support is currently offered but may be possible as a modification/customization. Thorough analysis would need to be completed to determine feasibility first.

7. Hearings Function

The activities associated with recording the results of calendared events and notifying parties of court decisions. In the context of this appendix, calendared events include all proceedings in which arguments, witnesses, or evidence are heard by a judicial officer or administrative body. Even though most cases reach an important intermediate milestone or culminate when they are adjudicated in a trial or some type of other event, the Hearings Function imposes only two functions on case management systems —recording results and notifying parties. Minute entries (normally annotated on the calendar or on separate forms) and court orders record hearing results and document for the parties the findings resulting from judicial or quasi-judicial events. In performing these tasks, the Hearings Function relates closely to the Calendaring Function, Disposition Function, and Case Close Function.

As the hearing progresses, the judicial officer may request a warrant, some type of form, or some other document that would be generated and printed.

The Hearings Function uses the term "judgment" in two contexts—first, as the general term for any disposition that results from a court decision; second, to connote the information contained in a judgment such as the judgment amount, debtor information and amount, creditor information and amount, and payment provisions. This function relates closely to the Disposition Function, which discusses judgments in these contexts and covers judgment forms that document the terms of the judgment.

Sub-functions. The hearings sub-functions, which should accommodate various types of hearings and other court related events are given in the following table:

Table 7.1 --- Hearings Sub-functions

R *	7.1.1 generate worksheet, calendar, or some other document suitable for on-line, rapid, in-court minute entry based on templates defined by users
Y	7.1.2 generate and display or print worksheet, calendar, or some other document suitable for manually recording minutes
Y	7.1.3 enter, store, and display or print minutes recorded on calendar or worksheet
Y	7.1.4 provide edits and prompts with on-line minute entry capability
Y	7.1.5 enter, store, and document minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules
R*	7.1.6 use events captured in minutes to update records throughout system
Y	7.17 create and print court orders resulting from hearings and other judicial and ADR events
Y *	7.1.8 distribute court orders resulting from hearings and other judicial and ADR events electronically to outside parties and internally for automatic entry in CCS

Y	7.1.9 enter information in court orders and judgments resulting from hearings and other judicial and ADR events as events in CCS
N *	7.1.10 distribute court orders resulting from hearings and other judicial and ADR events based upon party's preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available

MAXIMUS Comments:

7.1.1	Currently in analysis and design.
7.1.6	Currently in analysis and design. May have some limitations depending on updates desired.
7.1.8	Merged Documents can be saved and then distributed electronically.
7.1.10	Would be a modification.

8. Disposition Function

The activities associated with disposing all or part of a case or individual parties in a case due to a judgment, which is any type of disposition resulting from a court decision after a trial, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation. This function supports the user in accomplishing the actions called for in court orders.

The Disposition Function relates closely to the Hearings Function, in which judgments are determined, but not documented. The Disposition Function receives information from the Hearings Function on cases disposed by trial, and any other types of disposed cases. It also receives information on disposed cases from other functions, primarily the CCS and Related Record keeping Function. It interacts with the Execution Function in processing judgments and often functions contiguously with the Case Close Function in disposing and closing cases.

The term "judgment" refers to the general term for any disposition that results from a court decision as noted above, as well as information contained in a judgment such as the judgment amount, debtor information and amount, creditor information and amount, and payment provisions. The term "judgment" also refers to dispositions and the information contained in those dispositions from cases that result in a determination of guilty or not guilty, conviction, sentence, fine, probation or other final court action in criminal and juvenile cases

The Disposition Function may also encompass the need to track various post-judgment elements of cases. These tracking mechanisms may include on-line database tickler files as well as the creation of a judgment form at case disposition to document the judgment information in physical records or files (for example, in civil cases, these tracking mechanisms may be used for a reactive tracking of judgment payments). Users must be able to easily reopen disposed cases for activity such as modifications, post conviction relief petitions, proceedings supplemental, motions to correct errors, and release of *lis pendens*.

Exchange of judgment information may occur with (1) other governmental units at the federal, state, and local levels; (2) private organizations; and (3) other users.

Sub-functions. The disposition sub-functions could apply to entire cases, individual parties (e.g., if some, but not all, parties in multiple-party case settle), individual parcels (i.e., in real property rights cases), individual causes of action (e.g., when each claim in a multiple claim promissory note constitutes a separate cause of action, information usually should be recorded on the disposition of each cause and of the entire case), criminal sentences, or other dispositions entered on civil, juvenile or criminal cases. Examples of sub-functions are given in the following table:

Table 8.1 --- Disposition Sub-functions

N *	8.1.1 record disposition type (i.e., type of judgment, determination of guilty or not guilty) including those involving entire cases, individual parties, parcels in real property rights cases, and cross complaints
Y*	8.1.2 identify inactive cases and groups of cases and prompt user regarding appropriate action
Y	8.1.3 process information and produce documents for dispositions by trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation
Y	8.1.4 process information and produce documents on post-judgment activities
Y*	8.1.5 distribute disposition and post-judgment documents noted above electronically external to court and internally to be entered in CCS
N *	8.1.6 create, print, and maintain separate judgment indices that show original and subsequent judgments by case and party
N *	8.1.7 create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments for each case and party
N *	8.1.8 allow for multiple judgments in cases involving multiple parties
N *	8.1.9 update each case in group of disposed cases as if group were single case
Y	8.1.10 record date and amount of judgment including fine, sentence, restitution, etc.
Y*	8.1.11 record aggregate fine or judgment and back calculate the appropriate fines and fees
Y	8.1.12 record multiple decisions, sentences, fines or fees per case or per charge
Y	8.1.13 record satisfaction of judgment as well as partial payments made pursuant to judicial order

MAXIMUS Comments:

8.1.1	Judgments are Case related, not Party or Parcel related. This would be a modification.

8.1.2	Identification is by report and user may perform the 'Lack of Prosecution Process' if desired but prompts are not provided.
8.1.5	May be accomplished by storing the Word Processing documents and e-mailing or through imaging and Workflow process.
8.1.6	Same as 8.1.1
8.1.7	Same as 8.1.1
8.1.8	Same as 8.1.1
8.1.9	Would be a modification.
8.1.11	Any fines and costs that are added to the case/charge are thrown and calculated by date used in back dating.

9. Execution / Proceedings Supplemental Function

The activities associated with collection of a judgment. These situations normally arise when the court is requested to assist with collection of the monetary judgment specified in a court order by obtaining information on the status of judgment payments and balance due by issuing documents such as memoranda of credit and garnishments of return. The Execution / Proceedings Supplemental Function interacts with the Hearings Function and Disposition Function in these tasks.

Sub-functions. The following table provides examples of the Execution / Proceedings Supplemental sub-functions.

Table 9.1 --- Execution Sub-functions

N*	9.1.1 process requests for execution of judgments and establish cross references for each execution sub-function given below to judgment index and judgment screen
Y	9.1.2 process objections to execution
N*	9.1.3 record fully, partially, and unsatisfied executions
N	9.1.4 update each case in group of cases for which execution requested as if group was a single case
Y	9.1.5 record identifying information for general garnishee defendants and issue garnishment complaint and interrogatories, recording service of process information.
Y	9.1.6 provide printed document to be provided to garnishee defendant's financial institution containing identifying information, complaint and interrogatory information, and recording service of process information
Y*	9.1.7 maintain detailed records of payment history including records of payments and calculations of interest

MAXIMUS Comments:

9.1.1	Since judgments are currently case based instead of party based, modification would be needed for individual judgments by party.
9.1.3	Same response as 9.1.1
9.1.7	Detailed records of payments are kept. System provides and Interest Calculator and if interest is a separate CCS Entry, detailed records of payments against interest may be tracked as well.

10. Case Close Function

The activities associated with final closure of a case. These activities normally are part of case disposition, but this appendix addresses the Case Close Function separately from the Disposition Function to accommodate the rare instances when the two functions are separate.

Case closure normally occurs when the case is disposed, which usually means the court has issued a final order disposing all parties and all issues and has statistically closed the case. Case closure, however, seldom causes a case to be removed from the case management system and placed in an archive file. Cases are archived according to records management policies located in the Administrative Rules.

From the perspective of a case management system, the Case Close Function and sub-functions address statistical closure, and the File, Document, and Property Management Function addresses operational closure.

Sub-functions. As noted above, the case close sub-functions would either be performed separately in the Case Close Function or in a continuum consisting of the Disposition Function and the Case Close Function. These sub-functions are:

Table 10.1 --- Case Close Sub-functions

Y	10.1.1 receive information from Disposition Function and record reason for closure
Y*	10.1.2 establish cross references between consolidated cases for CCS, scheduling, notice generation, and other functions
Y	10.1.3 close case including updating of CCS, generating required forms, notices and reports for that case)
Y	10.1.4 generate overall case closure reports

MAXIMUS Comments:

10.1.2	If cases are linked, information CCS entries may be automatically added to all linked cases by adding to a single case. Scheduling can also add a CCS entry to all cases in the same manner however each case must currently be scheduled individually which may not

	completely provide the requested functionality. Same exception applies also to Notice Generation.

11. General Accounting Function

The activities associated with satisfying the court's fiduciary responsibilities including receipt of funds, posting case-related funds to a case fee record, posting non-case related funds to other types of records, maintaining account records, disbursing funds, generating checks, billing, producing payment agreements, producing notices required for collection activities, reconciling bank accounts, and producing documents required to satisfy county, state, and federal auditing agencies.

In this appendix, accounting activities differ from case management system functions covered previously because many accounting functions are performed by different personnel and may be supported by a different computer system. Because of the ambiguities in the division of functions between case processing and accounting, the financial system functions are divided into three groups:

- "case processing" functions that apply directly to case management systems. These functions receive fees and other payments; generate receipts; maintain a limited number of bank accounts to hold received funds until they are sent to the proper person, agency, or account; and prepare reports on these activities.
- "financial functions" that support case processing. Functions in this group handle a wide range of interest-bearing and noninterest-bearing accounts, process accounts receivable, distribute funds, adjust fund balances, maintain journals and general ledgers, and produce end-of-period reconciliations and other summaries and reports.
- other functions—such as budgeting, payroll, and fixed assets—that relate only tangentially to case processing.

The financial sub-functions designated as mandatory should be present in some system(s)—either a case management system, a financial system, or an integrated system—but not necessarily in the categories shown below. This also applies to the financial sub-functions designated as optional. The case processing and financial functions relate closely to each other, to other case processing and financial functions, and to accounting functions. For example, many accounting functions cause CCS entries and vice versa; many accounting reports relate to the other management and statistical reports; and the system may be required to interface with clerk cash register systems for funds collection and receipting. Because of these and many other interfaces, if the civil case processing and financial systems are separate, the interface between them must be such that they operate as if they were a single system from the users' perspective. The accounting sections in this appendix note only the most significant interfaces between the case processing and financial functions.

The Accounting - Front Counter and Cashiering Functions and Accounting - Back Office Function sections below cover the case processing and financial functions relative to each of the two office locations. The final accounting section covers general ledger functions. This section addresses common general accounting functions.

Sub-functions. The general accounting sub-functions—all of which may be either case processing or financial—that are either common to one or more of the subsequent accounting sections or cannot be categorized into one of those sections are:

Table 11.1 --- General Accounting Sub-functions (case processing, financial, or both)

Y	11.1.1 comply with generally accepted accounting principles (GAAP) for governmental entities
Y	11.1.2 provide appropriate security and authorization for all accounting functions
Y	11.1.3 allow user to override any data supplied automatically by system
Y	11.1.4 generate accounting notices (e.g., for payment) at front counter or in back office
N	11.1.5 transfer funds from one case to another case or between accounts in a given case
Y	11.1.6 support trust fund accounting

12. Accounting - Front Counter and Cashiering Function

The activities associated with the cashiering station of the front counter in the clerk's office where litigants and their representatives submit payments required by the court.

Sub-functions. Within the Accounting – Front Counter and Cashiering Function, the sub-functions are grouped into funds collection, receipt generation, and bookkeeping.

12.1 Funds Collection

This group of sub-functions applies to all case processing and addresses the activities associated with calculating the amounts due and accepting payments from litigants and their representatives.

Table 12.1 --- Funds Collections Sub-functions (all case processing)

Y	12.1.1 permit payment to be accepted for cases filed whether or not all information has been entered on CCS and recorded by entering minimal amount of data (e.g. litigant name, year, case type abbreviation and/or case number) as precursor to full CCS entry
Y *	12.1.2 accept payments by various methods including electronic funds transfer, internet payments, debit accounts, credit card, on-line check, check and cash
Y	12.1.3 compute fees based on occurrence of specific event

Y*	12.1.4 identify existence of fee waivers or deferrals, display message, process appropriately
Y	12.1.5 allocate fees associated with nonparties that may or may not be case related and process appropriately
Y	12.1.6 record fees, other moneys collected, and related information
Y	12.1.7 accept multiple types of payments in single transaction
Y	12.1.8 accept multiple payments for single case with capability to process as either single payment or separate payments
Y	12.1.9 accept single payment for multiple cases with capability to process separately for each case
Y	12.1.10 permit payments to be voided and re-entered before daily balancing with proper security provisions

MAXIMUS Comments:

12.1.2	Electronic funds transfer and on-line check currently not supported.
12.1.4	Case display ticklers functionality can provide messaging for existence of fee waivers to notify users for correct processing.

12.2 Receipt Generation

This group of sub-functions applies to all case processing and addresses the activities associated with generating and printing receipts for payments from litigants and their representatives.

Table 12.2 --- Receipt Generation Sub-functions (all case processing)

Y	12.2.1 generate and print receipts with proper identifiers based on collections with user option to receive single or multiple copies
Y	12.2.2 generate and distribute electronic receipts for electronic payments
Y	12.2.3 generate and print receipts with unique, locally defined, sequential receipt numbers
Y	12.2.4 generate and print multiple receipts from one financial transaction covering multiple payments for multiple cases or purposes
Y	12.2.5 generate and print either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case
Y	12.2.6 permit receipts to be reprinted with same receipt numbers

12.3 Bookkeeping

This group of sub-functions applies to all case processing and addresses the activities associated with front counter record keeping, primarily involving payments from litigants and their representatives and receipts generated in return for these payments.

Table 12.3 --- Bookkeeping Sub-functions (all case processing)

Y	12.3.1 establish individual (e.g., for case or party) and combined (e.g., funds held short term by clerk) bank accounts when initial fees received for new case for subsequent use in back office
Y	12.3.2 record and maintain front-counter bookkeeping information on receipts and disbursements
Y	12.3.3 provide secure passwords for each cashier
Y	12.3.4 identify cashier with all transactions
Y	12.3.5 compute totals, list transactions, and balance for each cash drawer, register, cashier, and fee type
Y*	12.3.6 list contents of each drawer
Y	12.3.7 print summary for each cashier including totals for each type of payment
Y*	12.3.8 list any discrepancies among payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment
Y	12.3.9 permit individual cashiers to open and close at least daily
Y	12.3.10 allow supervisor to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions
Y	12.3.11 suspend cashier operations multiple times during day
Y	12.3.12 permit transactions that arrive after cashier closeout to be entered as transaction for next day or with proper and secure override, as same day transaction
Y	12.3.13 print system-wide daily cash receipts journal

MAXIMUS Comments:

12.3.6	System provides for ability for the cashier to list physical contents of drawer to aid in balancing
12.3.8	May be accomplished through Ad Hoc reporting to the extent that the necessary information is stored in the Database.

13. Accounting - Back Office Function

The activities associated with back office financial record keeping and related functions such as maintaining account records; conducting funds transfer and other financial transactions; and producing reconciliations, statements, reports, and other documents.

Sub-functions. Within the Accounting - Back Office Function, the sub-functions are grouped into account management; funds transfer, distribution, and disbursement; updates to accounts and other records; and summaries.

13.1 Account Management

This group of sub-functions addresses the activities associated with maintaining accounts, identifying and alerting users to abnormal conditions and producing supporting documentation, maintaining cross references to records external to the system, and maintaining code translation tables that pertain to accounting. As shown below, these sub-functions apply to case processing, financial, or both.

Table 13.1 --- Account Management Sub-functions (case processing)

Y	13.1.1 maintain financial parts of case files and CCS
Y	13.1.2 debit accounts established by attorneys to cover court expenses, and credit attorney accounts based on electronic funds transfers from attorney bank accounts, debiting attorney credit card accounts, and writing on-line checks
Y	13.1.3 maintain standard tables for court costs and fees

Table 13.2 --- Account Management Sub-functions (case processing or financial)

Y*	13.2.1 maintain and track various types of individual (e.g., case or party) and combined (e.g., funds held short term by clerk) bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through) and balances by case, due date, and party (a few accounts, such as attorney accounts and funds held short term by clerk, are case processing; most accounts, such as trusts and most escrow accounts, are financial)
Y	13.2.2 identify and record arrearages, generate alerts when scheduled payments not made), and take or prompt user to take appropriate action
N *	13.2.3 send notices via e-mail or integrated messaging system

MAXIMUS Comments:

13.2.1	The systems 'Holding Account' (used for trust accounts) functionality can provide the requested functionality incorporated with tickler functionality for the due dates.

13.2.2	Available through AR functionality by report and processing of payments.
13.2.3	Would be a modification.

Table 13.3 --- Account Management Sub-functions (financial)

Y*	13.3.1 track status of accounts referred to other agencies or organization
Y	13.3.2 produce correspondence such as payment notices and dunning letters

MAXIMUS Comments:

13.3.1	Available through AR (Accounts Receivable) functionality

13.4 Funds Transfer, Distribution, and Disbursement

This group of sub-functions addresses the activities associated with distributing fees to other governmental units (e.g., law enforcement, state and local treasurers), sharing financial information with other governmental and private entities (e.g., banks, collection agencies), and processing disbursements. As shown below, these sub-functions apply to case processing, financial, or both.

Table 13.4 --- Funds Transfer, Distribution, and Disbursement Sub-functions

Y	13.4.1 record funds received from other local, state, and private units
Y	13.4.2 share information with state agencies to coordinate collection of court-ordered payments
Y*	13.4.3 place hold on all disbursements
Y	13.4.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., jury fees posted for settled cases, unreturned checks for moneys paid by court), update ledgers, and produce reports
N *	13.4.5 electronically authorize and transfer collected fees to other units
Y *	13.4.6 compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, other purposes) and permit distribution formula override by appropriate authority

Y*	13.4.7 compute parts of fees to be distributed to other local and state units according to predefined formula and distribute these moneys electronically
Y	13.4.8 produce reports showing distribution formula, moneys distributed to other local and state units over specific period, and how formula was used to compute distributions
Y	13.4.9 initiate, print, and disburse sequentially numbered checks, stop issuance on checks, void checks, identify and process outstanding checks, report on checks that have cleared, and record checks on check register
Y	13.4.10 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register

MAXIMUS Comments:

13.4.3	Users may place a 'hold' on checks written to individuals for a designated number of days.
13.4.5	Would be a modification.
13.4.6	Distribution of funds is a user-defined formula associated to a Docket Code The users are not permitted to override this distribution formula, but can apply the costs to a different Docket Entry on the case. However, if a change in the law requires a change in the overall distribution of funds, an authorized user can reflect these changes in the Docket Code table.
13.4.7	Computations supported. Electronic distribution is not currently supported.

13.5 Updates to Accounts and Other Records

This group of sub-functions addresses the activities associated with processing financial transactions, calculating charges and producing bills for amounts owed the court, and processing bank deposits. As shown below, these sub-functions apply to case processing, financial, or both.

Table 13.5 --- Updates to Accounts and Other Records Sub-functions

Y	13.5.1 post case-related receipts to accounting records and CCS; associate receipts with proper case, account, or case activity
Y	13.5.2 post case-related disbursements to accounting records and CCS; associate disbursements with proper case, account, or case activity
Y	13.5.3 display or print lists of transactions (e.g., receipts, disbursements, interest accruals listed by fee type or chronologically) for specific cases and accounts over specific periods

Y	13.5.4 record changes to accounting records that result from court orders (e.g., order for refund of jury fees) and modify appropriate records
Y	13.5.5 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, interest, costs, attorney fees) garnishments and partial payments
Y	13.5.6 post interest accruals to accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts, and post to individual trust accounts at end of month); associate accruals with proper account
Y	13.5.7 generate and print invoices for and document collection of all monies
Y	13.5.8 apply corrections without changing or deleting transactions, record and store adjusted financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization
Y	13.5.9 post non-case-related receipts to accounting records and associate receipts with proper account
Y	13.5.10 post non-case-related disbursements to accounting records and associate disbursements with proper account
Y	13.5.11 accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and produce account statements
Y	13.5.12 create payment schedule, apply payments received to scheduled amount due, and produce reports on overdue amounts
Y	13.5.13 Calculate and record bank deposits

13.6 Summaries

This group of sub-functions addresses the activities associated with generating the various listings and reports that document financial activities (e.g., transactions, reconciliation, audit trails) over specific periods (e.g., daily, weekly, monthly, quarterly, annually). As shown below, these sub-functions apply to case processing or financial.

Table 13.6 --- Summaries Sub-functions

Y*	13.6.1 for specific periods produce separate reports showing (1) cases for which fees received, no fees received, fees waived, no fees due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case
Y	13.6.2 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited
N *	13.6.3 print bank deposit slips for specific banks and periods

Y	13.6.4 for specific periods, compare court record of checks with bank record of checks; produce list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; produce report giving discrepancies for all reconciliation
Y	13.6.5 produce list of items that remain open for accounts that carry balance forward from one period to next period
Y	13.6.6 produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period
Y	13.6.7 produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period
Y	13.6.8 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits
Y	13.6.9 produce summary reports for each cash drawer, cash register, and cashier
Y	13.6.10 produce report containing information on fees waived and associated payments
Y*	13.6.11 produce report showing financial status and history (e.g., information on transactions, account balances, discrepancies) for each account
N *	13.6.12 generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports
N*	13.6.13 produce lists arranged according to user-selected criteria for any type of financial transaction

MAXIMUS Comments:

13.6.1	Most is available currently through the Accounts Receivable module. Module has many new items where design is complete and programming is underway.
13.6.3	Would be a modification.
13.6.11	System provides several reports that yield the information but not from just one report.
13.6.12	Other periodic financial reports could be developed using Crystal Reports.
13.6.13	User defined reports of this type may be achieved through Ad Hoc Reporting with Crystal Reports.

13.7 Accounting - General Ledger Function

The activities associated with general and subsidiary ledger functions. Sub-functions. The general ledger sub-functions are all financial.

Table 13.7 --- Accounting --- General Ledger Sub-functions

Y	13.7.1 create and maintain system-defined and user-customized chart of accounts
Y	13.7.2 maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries
Y	13.7.3 populate subsidiary ledger automatically using data from other parts of system
Y	13.7.4 reconcile and balance all accounts
Y	13.7.5 create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts

14. File, Document, and Property Management Function

The activities associated with (1) creating, storing, managing, tracking, archiving, and disposing of manual, electronic, and imaged case files; (2) managing electronic and imaged documents; and (3) receiving, tracking, and returning or destroying exhibits and other property gathered by the court relative to its cases (but not fixed assets and similar property of the court).

Within the context of this appendix, file management refers to case files stored either manually or on a computer medium (e.g., magnetic or optical disk). Case files must be tracked from the time the case is initiated until the files are destroyed. For manual files, this means tracking their physical location during their entire life cycle as active, inactive, archived, and destroyed files. Since multiple users can access electronic files concurrently with no movement of physical files, tracking the physical location of electronic files is relevant only when their storage medium (e.g., magnetic or optical disk) has been moved to an off-line facility (e.g., separate storage location for disks containing archived records).

These standards generally apply to imaged files without delving into the specifics of an imaging operation (e.g., scanning, retrieval, storage), but they do assume an imaging capability.

Document management embraces the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Some document management systems may provide advanced capabilities in the above functions, as well as additional features such as document version control and workflow for document routing to specific workstations. At least rudimentary document management capabilities must exist either in the case management system or in a separate document management system that can interface with the case management system. In addition to this section, the Document Generation and Processing Function and Security Function describe these rudimentary document management standards. The System Capabilities section part of Related Technical Considerations (Appendix A) discusses advanced capabilities.

Exhibits and other property consist of items submitted to substantiate a litigant's case or to provide needed information to the court.

Sub-functions. Within the File, Document, and Property Management Function, the sub-functions are grouped into file tracking, file archival and destruction, reporting and utility, document management, and exhibit management.

14.1 File Tracking

In accordance with local and state rules governing record retention, case records must be identified when they are created at case initiation; stored as active, inactive, and archived files as they progress through their life cycle; and tracked until they are destroyed. Therefore, the record custodian must know the location of case files at all times.

The file tracking sub-functions differ depending on whether the files are manual or electronic. As noted above, the physical location of manual files must be tracked during their entire life cycle. Conversely, as long as electronic files reside on the system's primary storage medium (presumably on-line storage), their location need not be tracked. Usually this situation prevails when the files are active and sometimes when they are inactive (e.g., depending on the reason they are inactive). Archived electronic files usually are moved to off-line storage.

The sub-functions given below cover file tracking through the life cycle of case files—when they are active, inactive, archived, and destroyed—to the extent local and state rules allow for these life-cycle stages.

Table 14.1 --- File Tracking Sub-functions

Y*	14.1.1 generate labels for manual case files
Y	14.1.2 generate indicators (e.g., color coded labels) with information on checked-out manual files to replace those files in cabinet
Y	14.1.3 track manual case files from time checked out of clerk's office through each borrower until returned to clerk's office relative to location, borrower, date removed, reason file needed, date returned or transferred, and other data
Y	14.1.4 maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files
Y	14.1.5 maintain last location of manual and electronic destroyed files
Y	14.1.6 maintain audit trail of each case file location with information similar to that noted above for file tracking
Y	14.1.7 print barcode information on labels and other physical documents; permit scanning of barcodes to eliminate or reduce data entry

MAXIMUS Comments:

14.1	Software is inteface ready for 3rd party software titled TrakMan® which includes file tracking, exhibit tracking and evidence tracking.

14.2 File Archival and Destruction

In accordance with local and state rules for record retention as noted above, both manual and electronic case files pass from active to inactive status, and eventually manual files are archived and ultimately destroyed. At some point in its life cycle, the file is moved from on-line storage to off-line storage and eventually sent to an offsite storage facility. While the file resides in off-line computer storage, many courts retain summary information on the case in active storage to help access the archived file.

Table 14.2 --- File Archival and Destruction Sub-functions

Y*	14.2.1 identify cases to be archived and later destroyed depending upon user established criteria which may include case types or other defining characteristics
Y	14.2.2 identify cases to be retained permanently
Y	14.2.3 process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility
Y	14.2.4 identify summary information to be retained in active or semi-active files
Y	14.2.5 generate and print reports showing archived and destroyed or transferred cases

MAXIMUS Comments:

14.2	TrakMan Software provides solution for physical case files. Electronic files may be 'Sealed' at proper time but are not archived off-line.

14.3 Reporting and Utility

Case processing systems often perform various reporting and utility functions as part of file management.

Y	14.3.1 create/save/modify/delete report logic and pre-existing logic for data extraction and printing
Y	14.3.2 select, sort, extract, and print all data
Y	14.3.3 allow for data selection based on complex statements using Boolean logic including "and", "or", "if", "then", "except", "greater than", "less than", "equal to", "not equal to"
Y	14.3.4 all data fields accessible by the report utility
Y	14.3.5 support the creation of calculated data fields for reports including percent, mean, mode, median, addition and subtraction, and ranking or sorting by frequency

Y	14.3.6 provide both a report format default and user-defined format of column headings and data positioning on the report
Y	14.3.7 capable of creating ODBC-compliant files to export data
Y	14.3.8 allow for free form output for notices and other non-tabular court documents through report generator
Y	14.3.9 provide the capability for on-demand document generation via Microsoft Word
Y	14.3.10 all reports may be produced upon request by the users with the appropriate security restrictions
Y	14.3.11 ability to generate mailing labels, envelopes and data mailers
Y	14.3.12 sort reports in an order specified by the user
Y	14.3.13 provide case information reports based upon user criteria
Y	14.3.14 generate cross-table case information reports
Y	14.3.15 allow for on-line access to reports
Y	14.3.16 provide a basic audit report of various transactions/entries performed
Y	14.3.17 create reports regarding the number of cases outstanding based on user criteria
Y	14.3.18 prevent unauthorized users ability to produce ad hoc reports
Y	14.3.19 generate reports on file management activities
Y	14.3.20 perform utility functions (e.g., copy information such as CCS entries and parties) from one case to another
Y	14.3.21 provide reports in Microsoft Excel format, or in a format that is easily imported into and used by Microsoft Excel and Microsoft Access

MAXIMUS Comments:

14.3	Crystal Reports

14.4 Document Management

Document management addresses the rudimentary document management capabilities for electronic and imaged documents (with the proviso that these standards do not assume an imaging capability) received from sources such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case processing and word processing systems (see Appendix B for a discussion of electronic filing). The documents include the internally generated forms, letters, and brief reports described in the Document

Generation and Processing Function. Document management capabilities must exist either in the case management system or in a separate document management system that can interface with the case management system. The capabilities shown in the table below are in addition to those noted in the File Tracking and the File Archival and Destruction section of this function and in Document Generation and Processing Function and Security Function.

Table 14.4 --- Document Management Sub-functions

Y	14.4.1 provide for input, output, storage (including indexing or an equivalent capability), and search and retrieval of electronic and imaged documents
N	14.4.2 provide capability to toggle between views of several different documents
Y	14.4.3 provide capability to interface with document management system that is separate from case processing if case management system excludes document management capabilities
Y*	14.4.4 provide capability to use same document management system for imaging if imaging is included in overall case processing
Y	14.4.5 provide for manipulation and maintenance of electronic or imaged documents, including an audit trail and security features for images corresponding to other data in the system

MAXIMUS Comments:

14.4	VisiFlow

14.5 Exhibit Management

Exhibits and other property must be identified when received and tracked in an analogous manner to files.

Table 14.5 --- Exhibit Management Sub-functions

Y*	14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts
Y	14.5.2 generate exhibit and property numbers or other identifiers
Y	14.5.3 track location and status of exhibits and other property
Y	14.5.4 record return or destruction of exhibits and other property

Y	14.5.5 generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed
Y	14.5.6 print or display lists of exhibits and other property according to case, party, and other parameters

MAXIMUS Comments:

14.5	Trakman

15. Security Function

The activities associated with ensuring the integrity of the case management system, its data, and its documents during normal operations and after a system failure or outage. This is accomplished through a combination of features in the case processing application software, the normal computer hardware and system software, and special-purpose hardware and software. Systems must have multi-level security allowing for wide flexibility in access, editing and creation of records, as well as in reporting, archiving, and deleting information from the system. The CMS application software should contain carefully designed input edits to improve data quality and integrity by checking data entered into the system.

Security sub-functions are:

Table 15.1 --- Security Functionality

Y	15.1.1 system administrator can define access control from the system login prompt to the court application
Y	15.1.2 user password level security
Y	15.1.3 screen level security
Y*	15.1.4 group or department level security
Y*	15.1.5 organization level security
Y	15.1.6 function level security (i.e. entry, update, delete, etc.)
Y	15.1.7 security levels by groups and by individuals established by court system administrator
Y	15.1.8 ability to provide on-line access across sub-system boundaries or to restrict access across sub-systems
Y	15.1.9 support for digital signatures or other electronic authentication standards
Y	15.1.10 support for security based on case type

Y *	15.1.11 support for case level security
N *	15.1.12 perform user-defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data
Y	15.1.13 ensure each document and its contents sent by user (e.g., attorney) matches with that same document and its contents received by court for electronically filed cases and other information received electronically to ensure that court is referencing and retrieving correct information
N*	15.1.14 ensure electronic records cannot be modified without supervisor notification
N	15.1.15 allow access and similar privileges based on authorizations defined, maintained, and controlled by users
N*	15.1.16 restrict local and remote access and permissible operations (i.e., view; add; change; delete; combinations of view, add, change, delete; and output) on case types, case categories, files, parts of files, and system functions from other system functions, device
Y*	15.1.17 restrict local and remote access to certain cases and classifications of cases (e.g., sealed cases, mental health cases) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders
Y *	15.1.18 provide audit trails that show which users and workstation locations logged on to system during specified period, including all records in which changes or modifications were made by particular users during specified period (see 3.4.6 above)
Y	15.1.19 provide secure passwords for each user
Y*	15.1.20 allow authorized user correction of individual or groups of cases when data entry error occurs
Y	15.1.21 maintain and display audit trail of file additions, modifications, and deletions (e.g., filings entered into CCS) including who made entry, when entry made, whether date entered and date filed differ
Y *	15.1.22 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed)
Y*	15.1.23 permit individual records or data elements to marked and treated as confidential with accompanying restrictions on access
N	15.1.24 conduct routine system tests based on established procedures that alerts supervisors to unusual or abnormal system activity, which could be potential security breach (eg. a court employee who is a party in a case changing a record they are associated with)
Y*	15.1.25 utilize card access, biometrics or other similar security device to eliminate passwords and authenticate users.
Y*	15.1.26 capable of requiring user authentication before conducting certain, or all, transactions

MAXIMUS Comments:

15.1.4	Profiles may be used to control Group Level security
15.1.5	Same response as 15.1.4
15.1.11	CourtView provides security at the Case Type level. For case level security (e.g., expunged cases) we change the Case Type behind the case.
15.1.12	Various edit checks exist throughout the system for proper date formats as well as other items (i.e. SSN, this date cannot be greater than that date) User defined edit checks for all fields in the system cannot be supported.
15.1.14	System administrator could remove 'Update' privileges from all except supervisors but this type of security is not recommended in CourtView
15.1.16	Cannot support all items as listed. Some are provided.
15.1.17	Can be controlled by Case Type access for users but not by device.
15.1.18	Audit trails by workstation locations not supported.
15.1.20	Individual cases only, not groups.
15.1.22	It is recommended that the client backup their system and restore from backup for most current information.
15.1.23	Some data elements can be hidden from users by profiles or marked as 'no edit' such as SSN, DOB, Specific Party Types.
15.1.25	Currently fully supported for E-filing but can also be used with minor modification for application login as well.
15.1.26	Currently supported only for E-filing and Judge Electronic Signature on documents.

16. Management and Statistical Reports Function

The activities associated with reporting caseload, case flow, and workload statistics and other court financial, operations, and staff management information. While the standard method of presenting this information would be printed reports, at least summaries of the information should be available through other types of presentations (e.g., graphs, charts) when requested by the user.

Sub-functions. Within the Management and Statistical Reports Function, the sub-functions are grouped into statistics and management information.

16.1 Statistics

As a by-product of day-to-day case processing, the system produces statistics that satisfy the reporting requirements of the Division of State Court Administration and other state agencies. These statistics appear in reports that are produced by the case management system.

The statistical reports generally fall into three categories: caseload, case flow, and workload. Caseload reports are based on the Weighted Caseload Measures and present statistics for each case category for a specific time period on the number of cases filed. Statistics would also be available for cases pending at the beginning of the period, the number of cases disposed or stayed during the period, and the number of cases pending at the end of the period. The reports also may provide details on these basic pending, filed, and disposed statistics.

Case flow reports present statistics for each case type and, in many instances, case category for specific time intervals based on the age of pending cases, case age at disposition, number of pending cases at each proceeding stage, and average time intervals between proceeding stages.

Workload analysis presents statistics for each case type and, in many instances, case category based on trends.

To produce statistics beyond the local case management system, statistical reporting must occur from the local system to the local, state, and possibly national levels. To satisfy this requirement, electronic interfaces should exist between local systems and systems of at least the local and state court administrators. Also, there must be a means of consolidating data from local systems to produce uniform state-level statistics, such as could be accomplished through data warehousing.

Table 16.1 --- Statistics Sub-functions

Y*	16.1.1 satisfy reporting requirements of Division of State Court Administration and other state agencies as necessary
Y	16.1.2 verify data sent to judicial branch and state agencies using techniques such as aggregate totals
N*	16.1.3 transfer statistical and case data to judicial branch and state agencies electronically
R *	16.1.4 produce caseload, caseflow, and workload reports, based on Weighted Caseload Measures or by other count or list of cases
Y	16.1.5 produce statistical reports associated with financial activities
N	16.1.6 incorporate data from diverse courts throughout state into uniform statewide statistics
Y *	16.1.7 interface and be fully integrated with robust report writing software customizable by user (e.g., Crystal Reports or other similar recognized report generation software)

MAXIMUS Comments:

16.1	System currently fully supports Indiana State Caseload reporting and DMV SR-16

16.1.3	Currently only 'paper' reporting is supported. If State requires electronic submission in future, we would provide the requirement.
16.1.4	Differential Case Management currently in development. To be Released in 2002.
16.1.7	Crystal Reports

16.2 Management Information

While management reporting is a mandatory capability for every case management system, the specific management reports needed by a given court depend on highly personalized management styles. There are, however, some reports that any court needs, and these reports are designated as mandatory in the sub-function table below. The reports designated as optional are only a few examples of the many reports that case management systems could produce.

Some management reports, presumably the mandatory reports and selected other reports, are preprogrammed into the case management system, and some are generated on an ad hoc basis. The judicial officers and other managers in each court must decide which reports they need on a continuing basis, and these reports would be preprogrammed. Invariably a court will need additional reports as conditions, personnel, and preferences change, and those additional reports can either be programmed or created on an ad hoc basis and saved.

As used in this section, the term "reports" refers to outputs to display devices and to file extractions for transfer to other systems, Internet posting, or the standard printed output. The detailed content and format of these outputs, even though preprogrammed, would be determined by the local court users.

Table 16.2 --- Management Information Sub-functions

Y	16.2.1 produce reports listed below as printed reports, displays, or extracted files suitable for transfer to other systems or Internet posting
N *	16.2.2 produce report that permits judicial officers to monitor conformance with time and other performance standards established by statute or rule
Y	16.2.3 produce various detail and summary reports giving CCS contents for specific cases and groups of cases by case and party
Y*	16.2.4 produce various detail and summary reports giving CCS contents for specific persons and groups of persons by case and party
Y	16.2.5 produce report that summarizes calendars sorted according to various criteria
N	16.2.6 produce report similar to calendar summary described above that shows whether specific cases have been disposed with cross references to calendars in which they were disposed

Y*	16.2.7 produce report identifying amounts owed and waived for each person or organization
Y	16.2.8 list cases (all, active, inactive) for specific attorney and provide related information
N *	16.2.9 provide audit trail reports that show (1) which users and workstation locations logged onto system during specified period and (2) file additions, modifications, and deletions including who made entry, when entry made, whether date entered and date filed differ
Y	16.2.10 list and give supporting information on all cases with open judgments
Y	16.2.11 list and give supporting information on all cases with open warrants
Y	16.2.12 list all cases that have been continued over specific period according to various criteria and give supporting overall information
Y	16.2.13 capture and track duration of trials by user-specified criteria such as courtroom, judicial officer or other judicial officer, whether jury or non-jury, and how estimated duration of trial compares with actual duration
Y	16.2.14 produce report showing status of motions and related petitions and requests including motions waiting for hearing or under advisement
N*	16.2.15 capture and track locally defined milestone events (e.g., initial filing, answer or response, settlement conference) for specific cases or groups of cases (e.g., case classification such as medical malpractice, judicial officer, court division), giving more flexible case flow information (e.g., elapsed time between user-specified events) than is available in standard statistical reports described in previous section
N*	16.2.16 maintain and report on current and past judicial officer assignment (including specific cases, case types, case categories), recusal, challenges, hearing results, reassignment, disqualification with reasons where appropriate
N*	16.2.17 produce index of executions on judgments and garnishments sorted according to various criteria

MAXIMUS Comments:

16.2.2	Would be a modification.
16.2.4	CCS Entry report is provided with detail and summary versions by case including all parties but not just for specific parties.
16.2.7	Cost Bill report will provide functionality and is currently being programmed to include newly requested customer modifications.
16.2.9	Audit fields exist for each table in CourtView and can be accessed via Crystal Reports. Workstation locations is not supported.
16.2.15	Currently not available as stated but could be achieved through modification.
16.2.16	Some reporting provides a minimal amount of what is requested but not to the extent requested. Could provide a modification to

	include but only after thorough analysis.
16.2.17	Would require a modification.

Other Related Technical Considerations

While the functional capabilities of the case management system are of paramount importance, numerous other capabilities should be considered during the system definition phase, with the proviso that many of them are sophisticated and may be difficult and costly to implement and maintain. A few of these capabilities may represent emerging and unproven technologies and should simply be monitored for future inclusion in the system. This monitoring should include knowledge of any standards (e.g., for individual schedulers, Internet markup or tagging, electronic signatures) applicable to these technologies. Even though these other capabilities are not part of the functional standards, they are summarized in this section to serve as additional items that may become part of system requirements

Data Warehouse

The functional standards established for a state-of-the-art CMS contemplate the use of a data warehouse for storage of data elements and access by judicial employees, other government employees, and members of the general public. The data warehouse must be based upon a robust system architecture which may either be fully integrated into the CMS, or a third party solution that is seamlessly integrated into the CMS. The data warehouse must contain full-featured reporting facilities, be Internet-enabled, and must function to increase the accessibility, accuracy and timeliness of court information to the users previously mentioned.

External Interfaces

In addition to the basic terminal input and printer output and the other input and output methods set forth in the functional standards, the case management system must be capable of communicating with other technologies and systems. Optimally, this communication will include, without limitation, real-time bi-directional connectivity to the Indiana State Police, the Department of Correction, the Family and Social Service Administration, the Bureau of Motor Vehicles and other non-judicial agencies and entities. At a minimum, these interfaces must allow for elimination of the transfer of information recorded on paper and allow for some level of inquiry into the respective agency's database, subject to the approval and specification of the connected agency. The other technologies may be internal to the court but external to the case management system, or they may involve systems and users outside the court. The case management system must also be capable of interface with existing legacy court systems which may remain installed throughout Indiana.

Other Technologies Internal to Court

The case management system may communicate with some of the following input and output technologies within the court but be external to the system:

- Case processing among multiple court locations (e.g., filings at one branch; hearings at another branch), transfer of individual cases between locations, and transfer of multiple cases between locations in a single transaction (see also System Capabilities);
- Integration of case management system with modern courtroom technologies that assist in judicial decision making by gathering and displaying information from other courts, justice agencies, social service agencies, schools, and treatment facilities such as:
    - displays that judicial officers can read easily and quickly (e.g., bar or pie charts, thermometer- or speedometer-type displays),
    - consolidation of multi-system or multi-database information on one display for easy assimilation,
    - computer-searchable records of proceedings (e.g., court record, judicial officer's notes);
- Integration of case management system with modern courtroom technologies that permit more efficient operations such as electronic court reporting (e.g., digital audio and video recordings; correlation of video recordings with court records and judicial officers' notes; and single recordation of proceedings with multiple uses in court records, judicial officers' notes, orders, and other documents);
- Integration of case management system with legal research (e.g., capability to transfer text for court orders and other documents from legal research system to case management system and then to edit text);
- Data capture and file and property management using bar code, optical character recognition (OCR), and other technologies;
- Document capture, storage, and retrieval using imaging;
- Information capture and conversion to data and word processing formats using OCR;
- Integration of case management system with word processing and spreadsheet software to permit easy transport of system data into and out of word processing documents and spreadsheets;
- Generation of official output documents (for transmission or printout) by supplying data including data transferred from word processing documents to imaged documents with official text, seals, and signatures;
- Integration with other technologies and systems such as individual schedulers (e.g., automatic updates to judicial officers' schedules, extracts of tagged parts from Internet-based court calendars to update law firm schedules), e-mail (see also System Capabilities in this appendix and Multifunction Capabilities and Integration in Standards for Individual Functions), and jury management systems; and
- Document printouts on special-purpose paper and forms (e.g., multipart forms and mailers).

Input and Output External to Court

Systems and users that are external to the court and, therefore, external to the case management system may combine basic input and output methods with new technologies or substitute new technologies for the basic methods. The input and output technologies support users such as other types of local courts, other courts statewide, the state judicial branch, litigants, the public, attorneys, state agencies, and other individuals and organizations. The technologies include:

- Electronic access to CCSs, documents, and other court records by attorneys of record, credit agencies, and other official users employing dial-up lines, Internet or intranet enablement, and other technologies;
- Electronic access to selected court records (e.g., calendars and other event schedules, payment schedules, payment status, account status, land records, liens), blank forms, and instructions (e.g., document submission procedures) for on-line use by attorneys' offices, title companies, academic researchers, self-represented litigants, and the general public employing voice response technology, kiosks available to the public, Internet enablement, e-mail, and other technologies;
- Distribution of blank court forms (e.g., to attorneys' offices for use in submission of hard copy pleadings) using Internet or intranet enablement, facsimile (fax) transmissions, e-mail, and other technologies to avoid preprinted forms;
- Integration of case management system with input and output needs of handicapped persons (e.g., through voice and other technologies that do not require keyboard and mouse entries);
- Integration of case management system with input and output needs of non-English speaking persons (e.g., through multilingual system capabilities);
- Integration of case management system with handheld and other mobile computers using wireless communications (e.g., for remote input, remote output, limited remote computing);
- Accounting interfaces in accordance with local and state standards:
    - payments by the public using voice-response technology, kiosks available to the public, Internet enablement, and other technologies,
    - enhanced and expanded use of electronic funds transfer over standards described in Multifunction Capabilities and Integration and accounting functions (this could include payments from litigants, attorneys, banks, collection agencies, and others and transfers to state and local agencies, attorneys, vendors, banks, collection agencies, and others),
    - electronic interface for records access and comparisons (e.g., between courts and banks, credit agencies, and other financial institutions),
    - electronic check processing (e.g., endorse back of checks and money orders in addition to recording and listing transactions and printing receipts); and
    - Use of more sophisticated modern technology for functions that already are standards described in the functional standards. For example, electronic information exchange could be enhanced so it occurs more seamlessly, uses more refined "push" and "pull" technology, uses the Internet or an intranet instead of dial-up lines or facsimile transmissions, and employs enhanced security. This could include upgrades to electronic filing; electronic document distribution; electronic input documents (for online form completion and submission in electronic filings); procedures for "stamping" electronic documents as received or sent and for "signing" electronic

documents; and security features such as user authentication (verify who sent data), data integrity (verify same data sent and received), and nonrepudiation (sender cannot later deny sending information). The Multifunction Capabilities and Integration and the Security Function sections discuss these capabilities.

Inquiry

System users need the capability to create queries and retrieve information from the database using on-line inquiry software with the following capabilities:

- Easy-to-use queries created by users with minimal training;
- Inquiry as stand-alone function or sub-function of case management system data entry;
- Varied and flexible inquiry keys (e.g., case number, case type, party, attorney, event) and other search criteria as noted below;
- Variety of user-defined searches including phonetic, Boolean logic, substituting "wildcards" for a limited number of unknown characters, date range, and progressively more detailed queries;
- Inquiry and retrieval of individual database items or groups of database items (e.g., individual or multiple judicial officers, attorneys, parties, cases, CCSs, calendars, hearings, other events and their results, tickler information);
- Retrieval of information on related events (e.g., all CCS entries pertaining to particular hearing type for specific case, all pending motions in case for which new motion filed);
- Retrieval of information on related cases;
- Scroll backward or forward through information retrieved through inquiry;
- Retrieved information presented in variety of user-defined formats and groupings (e.g., by date range or party);
- User option to print any display; and
- Modification of displayed information and sorting options on some display screens with proper user authorization.

Report Generation

Typically, printed reports are standard (i.e., preprogrammed) and ad hoc (created for onetime or limited use). While standard reports generally cause no problem (assuming they do not proliferate and IT staff members are available), the same cannot be said of their ad hoc counterparts.

Users often need printed reports on a one-time basis to respond to reasonable inquiries from third parties and judicial managers. They must be able to obtain these reports in a timely manner, which usually precludes the lengthy turnaround time required to write customized programs. The solution is report generation software that, like the inquiry software noted above, allows users to create their own reports. While this approach is appealing to users who want reports with no IT intervention, it often leads to problems for IT—the volume of reports created and run by users inundates the computer and causes processing deadlines to be missed. Possible solutions are for IT staff members to use the

software to create and run reports for the users or to utilize query optimization software that minimizes response time (see also next section on System Capabilities).

The tradeoffs of the various report generation approaches must be considered as part of any evaluation of standard and ad hoc report generation software, which would have the following capabilities:

- Detail and summary ad hoc reports capable of being created rapidly by user (or IT staff members) with minimal training;
- Formatting and content flexibility in ad hoc reports;
- Detail and summary standard reports that satisfy local, state, and federal requirements imposed by judicial, executive, and legislative branches (see also Management and Statistical Reports Function);
- Ad hoc and standard reports produced locally or exported to other offices and jurisdictions for printing;
- User ability to save ad hoc report formats they create for future use; and
- User option to display whatever is to be printed either as a normal display or as a print preview.

System Capabilities

Technical systems functions and capabilities comprise the final group of related technical considerations which, once again, are not functional standards. While the functional standards address case processing functions (e.g., CCS and calendaring) and their sub-functions (e.g., recording and maintaining case header and event information within CCS), technical systems functions and capabilities address hardware, system software, and design issues. As with the other related technical considerations, the admonition to consider the implementation and maintenance impact is extremely relevant here. The items in this group include:

- Need for a scaleable system that can efficiently support small, medium, and large courts. For example, large court systems may need to support multiple court divisions and locations, extensive use of alternate dispute resolution (ADR) providers such as mediators and arbitrators, multiple clerks' office locations, user interfaces (e.g., system screens) that accommodate compartmentalized clerk's office operations, and other capabilities attendant to high-volume operations. Conversely, small court systems may need to support user interfaces and processing geared to only a few court divisions (e.g., civil, criminal, traffic), limited or no use of ADR providers, one clerk's office location, and a few clerical personnel in a single office handling the record keeping for a case. In either situation, the appropriate tradeoffs between manual and automated functions must be achieved.
- Need for table-driven and modularly designed systems.
- Need for assistance from the system in automatically scheduling events based on completion of prior events (e.g., deadline for answer or response due 30 days after service to defendant) and producing documents (e.g., notices, calendars) associated with the scheduled events. Fully functional event-driven systems provide this capability, primarily in some large courts, by permitting the user to define case processing profiles (e.g., containing processing rules and schedules for each event) for each case type and case category (e.g., tort, contracts, real property rights, small

claims) within the civil case type (see also List of Code Translation Tables). Ideally, the case processing profiles define all steps, but given the complexity and variability of caseflow, user overrides and the capability to add steps to the defined caseflow must be available.

Such systems usually involve highly complex programming and can be extremely difficult and costly to develop, implement, and maintain. The standards in this appendix call for capabilities that address a few functions of these event-driven systems within individual functions based on the completion or scheduling of specific events. This partial functionality generally applies to courts of all sizes. Examples are (1) updating case indices, CCSs, and case and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees. These are covered in the standards for the Case Initiation and Indexing, CCS and Related Record keeping, Scheduling, Document Generation and Processing, Hearings, and accounting functions.

- Items that the user should be permitted to define either when the system is implemented or on an ongoing basis such as code structure, code translation table content (i.e., what will be represented by codes such as events, results of events, attorneys, party type), and notice and receipt formats.
- What the system defaults to initially or when there is no entry of specific data.
- Requirements to navigate for specific data among screens by using point-and-click, function keys, drop-down menus, and other capabilities.
- Need to display related data entry screens, information, and prompts triggered by specific event or entered data.
- Complete help screen capabilities that contain information on a comprehensive array of topics, permit easy searches for and indices of topics, and provide easy-to-understand instructions for using each part of the system. The instructions should be available in display or printed form and should be easily updated to reflect system changes.
- Use of specific software packages for functions such as improved report writing (for easier creation of standard and ad hoc reports; see earlier Report Generation section and Management and Statistical Reports Function).
- Use of enhanced document management functionality that interfaces with or is part of the case management system. This would provide additional functionality, such as workflow and document version control, and improvements in existing document and text indexing, storage, search and retrieval, manipulation, maintenance, and input and output (e.g., through electronic filing, Internet enablement, imaging, and conversion from imaged characters to data or word processing formats using OCR). The Multifunction Capabilities and Integration section and File, Document, and Property Management Function discuss document management standards.
- Use of distributed processing (with the same case management system or different systems) as a means of accommodating multiple court locations (see External Interfaces). This assumes the highly complex tasks of allocating processing functions, allocating data, and defining the network and its usage have been done properly and can be maintained.
- Use of relational database, object-oriented design, advanced programming, data warehousing (see also Management and Statistical Reports Function), and other recent system development and database technologies.

- Database design and data element definitions that permit easy inquiry and data access.
- Query optimization software that minimizes response time.
- Customized and easy-to-understand views of relational data for various users (e.g., judicial officers, clerks).
- Need for e-mail integrated with case processing to permit easy distribution of schedules, court minutes, drafts of documents sent out for review, and other documents and information. For this capability to be effective, a comprehensive and maintainable directory must be available to permit communication among users of different e-mail platforms (see External Interfaces section).

Electronic Filing

Some emphasis is presently being placed on electronic filing efforts that are based on a model developed in the Legal XML community. Legal XML is a non-profit organization comprised of volunteers from private industry, non-profit organizations, government, and academia whose efforts are to develop open, non-proprietary technical standards for legal documents. Because components of this XML concept can change, the reader should review www.legalXML.com before starting a new design or a modification of an existing design. The Legal XML Electronic Filing concept model is further described in this section. Although Indiana has not formally adopted the Legal XML standards or approach, electronic filing will certainly become important in the design and implementation of the CMS.

The components of this model are:

- Filers. Attorneys, law firms, litigants, state and county agencies, or anyone who has cause to file documents with a court.
- EFSP (Electronic Filing Service Providers). These are business entities that provide electronic filing services and support to their customers (filers). They provide a means for filers to submit documents to courts, electronically forward those filings to courts, and direct responses from courts back to the respective filers. Given the advent of open standards and a level playing field with universal electronic access to courts, it is assumed that many providers will develop applications for electronic filing. They will offer a range of services and products designed to attract specific segments of the market, ranging from large to small law firms, solo practitioners, or anyone who wishes to file court documents.
- EFM (Electronic Filing Manager). This is a software application that accepts XML from an EFSP, analyzes it, passes data to the CMS, saves documents if the CMS is not itself equipped to do so, and returns XML-formatted CMS-generated data to the EFSP. To the extent that the XML is standardized statewide, any EFSP should be able to interact with any EFM, and therefore with any court CMS interfaced to an EFM application.
- CMS (Case Management Systems). These are the applications courts use to track and manage caseloads (a heterogeneous CMS environment is assumed). So that EFM's can be readily connected to CMS's, case management systems will need to support an API (Application Program Interface) designed to talk with EFM applications. Developing an API is a job for CMS vendors or court software

developers or their contractors. It is also possible that, over time, various vendors will embed the EFM function in their CMS products.

Many electronic filing applications allow filers to communicate directly with an EFM as well as through an EFSP. This technical approach to court filings establishes the basis for a competitive, market-oriented environment ultimately enabling any filer or EFSP to exchange filings with any court.

In time, the EFM module of an electronic filing system will become an integral feature of the case management information system. System designers should include this CMS module in their long-range development plans. In the short term, a case management information system must provide an application program interface to an external EFM module. Any CMS must be capable of interacting through such an API with any EFM system.

The CMS should also include a "delayed CCS queue" capability which (1) serves as a cache of electronically filed documents and associated cover sheet information received by the court but not yet entered on the CCS, (2) gives a court clerk the ability to review the submitted document together with the submitted cover sheet information to determine their acceptability for entering on the CCS, and (3) allows the clerk automatically to accept, reject, or modify the proposed CCS entry or new case information supplied on the cover sheet and accept, reject, or hold the document submitted for filing. This delayed CCS queue is an essential quality control component of an electronic filing system but should be a component of the case management information system rather than the electronic filing application.

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